5.6.8. Instrument

Enter the following information for each charge listed in the charging instrument as shown in Figure 5-58. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

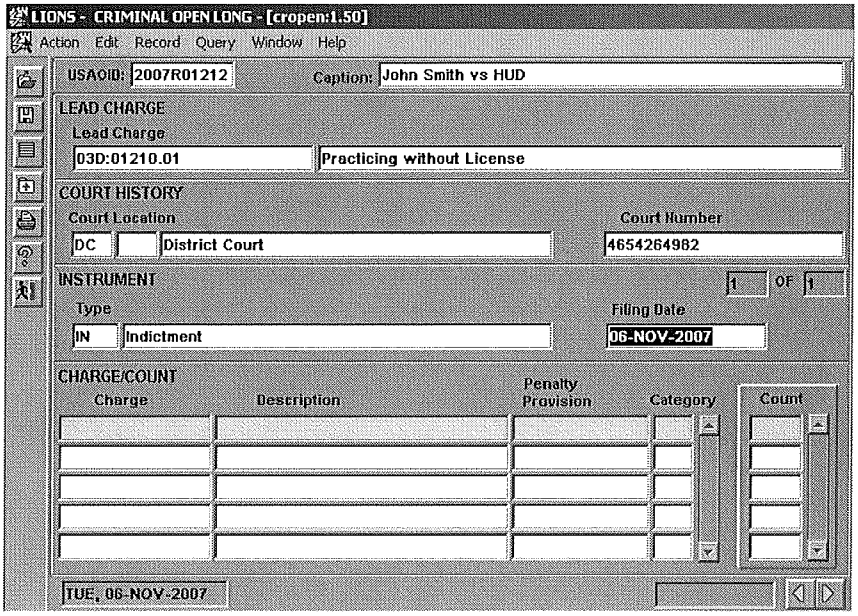

Figure 5-58: Lead Charge, Instrument and Charge/Count

Instrument Type – If a charging instrument has been filed in court, enter the appropriate code; e.g., **CO** (Complaint), **IN** (Indictment). For Petty Offenses to be tried in Magistrate Court, enter **CI** (Citation), even if another instrument has been used. This field is required for criminal actions that have been filed in any court. (LOV)

Filing Date - The filing date will default to the Court Filing Date. The Filing Date is required if an Instrument Type has been entered.

When you have finished entering the Instrument information, press **CTRL + PAGE DOWN** or click to go to the **CHARGE/COUNT** block.

5.6.9. Charge/Count

The following explains the values to be entered for the Charge/Count screen as shown in Figure 5-59:

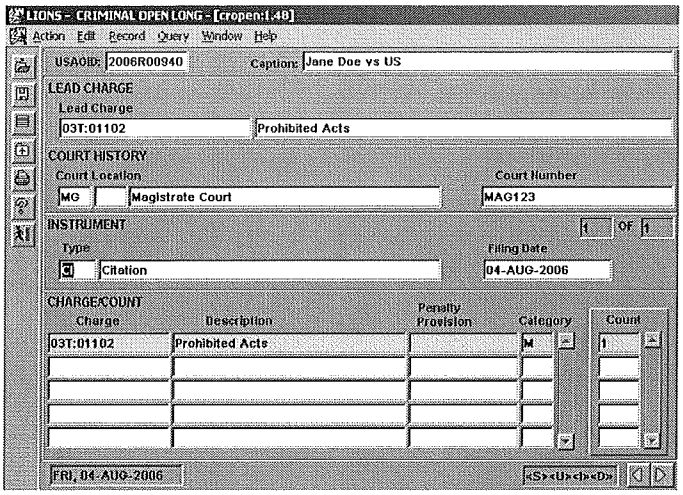

Figure 5-59: Lead Charge, Instrument and Charge/Count

Charge – If a charging instrument (complaint, indictment, information, etc.) has been filed against the defendant(s), enter the charge information. Note that only one charge per count can be entered. The other statutory references in a count may be jurisdiction, aiding and abetting or penalties. All characters are required. System Managers submit requests for new charge codes to TechOne. (LOV)

You can enter a U.S. Code Title and Section, District of Columbia Code, Code of Federal Regulations, State Code, or Virgin Islands Code. (LOV)

- Enter a two digit Title (**08, 21, etc.**).
- Leave a blank space for U.S. Code; enter an **R** for Code of Federal Regulations; enter an **S** for State Code; enter a **D** for D.C. Code; or, enter a **T** for a Virgin Islands Code.
- Enter a colon **(:)**.
- Enter a five digit section; e.g., **00013**, **02113**.
- Enter subsections; e.g., **(A)(1)(A)** (parentheses may be included).

Description – This field will be filled in automatically based upon the **Charge** selected from the LOV.

Penalty Provision – Press **F9** and select the code for penalty provision, if applicable.

Category – Press **F9** and select (or enter manually) one of the following:

F Felony

M Misdemeanor

P Petty Offense

Count – If the charge appears in only one count, enter the number of that count. If the charge appears in more than one count and the counts are sequential, enter the first count followed by a dash and then the last count; e.g., 3-9. If the charge appears in more than one count and the counts are not sequential, enter the first count, press the DOWN ARROW to move down to the next field and enter the second count, etc.

- Enter the next count. Repeat until all counts for the charge have been entered (see Figure 5-60).

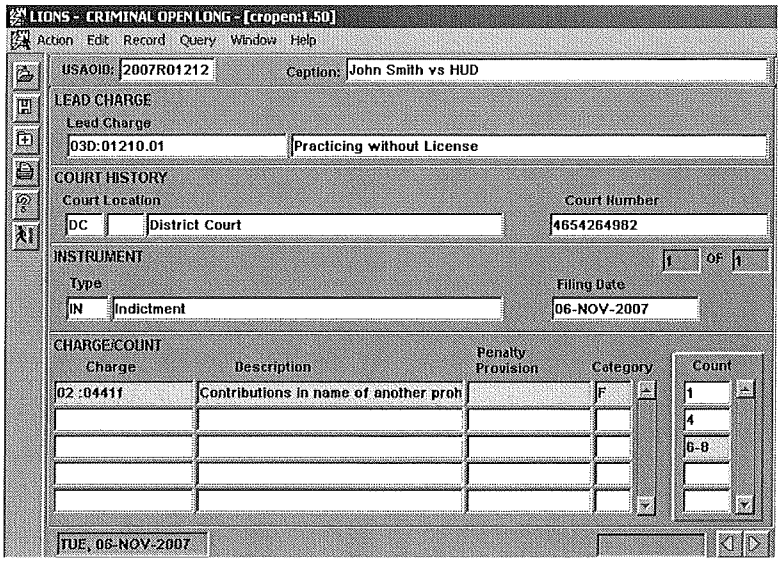

Figure 5-60: Entering Multiple Counts for a Single Charge

When all the counts that include the charge have been entered, press **CTRL + PAGE UP** to return to the CHARGE block and enter the next charge. If all charges have been entered, press **CTRL + PAGE DOWN** or click to go to the **DEFENDANT/COUNT** block.

5.6.9.1. Defendant/Count

The Defendant/Count block shown in Figure 5-61 is used to attach Defendants to the appropriate Counts in the charging instrument. Each count in the charging instrument must be attached to at least one of the defendants.

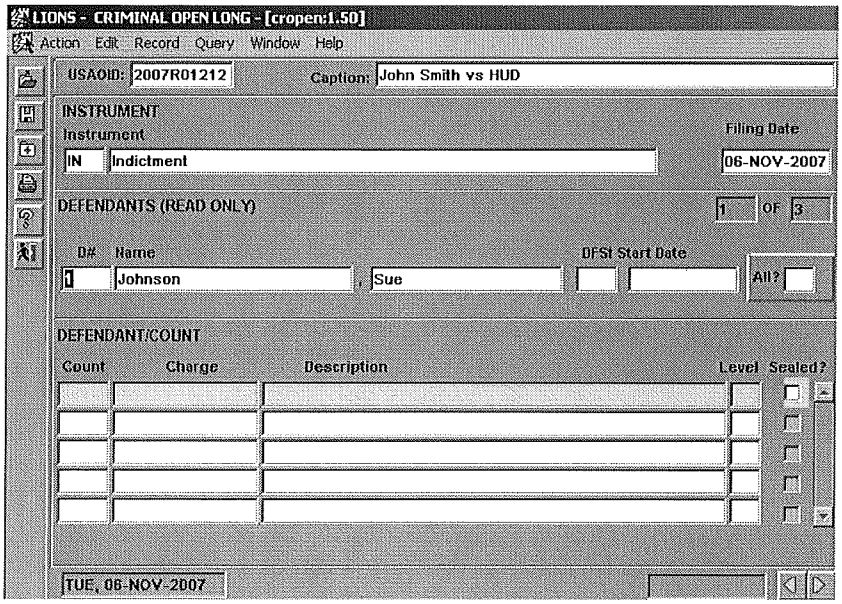

Figure 5-61: Defendant/Count

The Instrument and Filing Date entered previously will be displayed in the Instrument block.

5.6.10. Defendants (Read Only)

This is a stacked block. The counter in the upper right corner of the block indicates the number of defendants in the stack and the relative position of the defendant currently displayed. Only Defendant participants are included in the stack.

Use the **UP** and **DOWN ARROWS** to move through the stack.

D# (Defendant) – LIONS defaults to the number indicating the order in which defendants were originally entered in LIONS. If the order in which Defendants are listed in the charging instrument is different, enter the defendant number.

Name, DFST (Defendant Status), and **Start Date** fields are **READ ONLY**.

All? - Enter a **Y** (Yes) to attach all counts in the charging instrument to the defendant, or enter **N** (No) if the defendant is not attached to all counts.

5.6.11. Defendant/Count

Each count in the charging instrument must be attached to at least one of the defendants.

In the **DEFENDANT** block select the appropriate Defendant. Use the **UP** and **DOWN ARROW** keys to move through the record stack.

Count - Press **F9** and select a count that is applicable to the defendant and press **OK**. Repeat until all counts applicable to the defendant have been selected

OR

Enter the number of the first count applicable to the Defendant.

ARROW DOWN to the next line and enter the number for the next count. Repeat until all counts for the defendant have been entered.

Sealed? – Click in the checkbox to seal an individual count for a defendant.

If at least one count against a Defendant in the criminal action is sealed, LIONS automatically seals the criminal action at the case level (the security field will be set to 'L'). Conversely, if all counts for all participants are unsealed, the case will be unsealed at the case level (the security field will be nulled out).

Once you have attached all applicable counts to a defendant, press CTRL + PAGE UP to return to the DEFENDANT block, and use the UP and DOWN ARROW keys to select the next defendant.

When all defendants have been attached to the appropriate counts in the charging instrument, press **CTRL + PAGE DOWN** or click to go to the **COURT HISTORY** and **EVENT** blocks.

5.6.12. Event

LIONS pre-populates the **Court History** block using information previously entered, as shown in Figure 5-62. In LIONS, the user can relate participants to events; however, the participant must first be related to a court history stage for which the event is being entered.

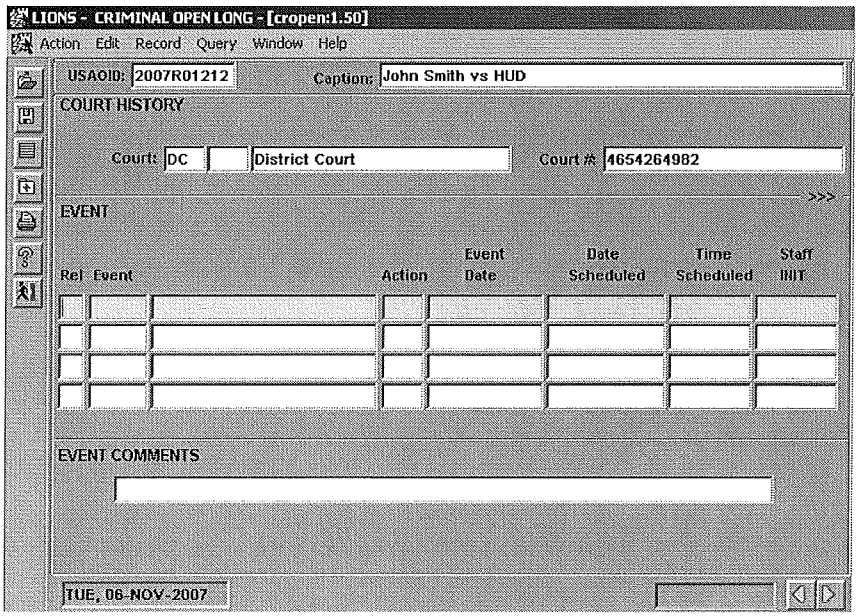

Figure 5-62: Event Screen

Rel (Related) – The first field in the EVENT block is a blank column that allows you to attach participants to events. **You must use this feature if you want to print the participant's last event on reports.**

If you enter a **Y** (Yes) in the Rel column, all participants that have been attached to the current court history stage will be attached to the event.

If you enter **N** (No), you must press **F9** to bring up a list of participants attached to the highlighted court history stage.

Event – Press **F9** and select the code that best describes the event.

Action – Press **F9** and select the code that describes the status of event.

If an **Event** is entered, an **Event Date** or **Scheduled Date MUST** be entered.

Event Date - Enter the date the event occurred. If scheduling an event, leave this field blank.

Date Scheduled - Enter the date an event is scheduled to occur. Scheduled Dates appear on staff members' calendar reports. Scheduled dates **MUST** be later than the current date.

Time Scheduled - Enter the time an event is scheduled to occur. Scheduled times appear on staff member's calendars.

Staff Initials - LIONS defaults to the initials of the Lead AUSA. If this is incorrect, press **F9** and select the appropriate attorney/staff initials.

Doc Code (Document Code) –This field was used for generating letters when VNS was a part of LIONS.

Doc Staff Initials (Document Staff Initials) - LIONS defaults to the initials of the person logged into LIONS. This field was used by Document Generation when the VNS functionality was a part of LIONS.

Document Date – Document Date defaults to the current date. This field was used by Document Generation when the VNS functionality was a part of LIONS.

Location Scheduled – Enter a free-form description of the location of the scheduled event.

Judge Initials – Press **F9** and select the initials of the Judge involved in the event or scheduled event. LIONS will fill in the Judge's last name based on the initials entered.

Event Comment – The event comment block is shown in Figure 5-19. Type in comments about the event and press **Enter.**

The Event Comment should not repeat the definition of the Event Code.

If **Rel** (Related) is **Y (Yes)**, upon selecting **Judge INIT**, the **PATICIPANT EVENT** block shown in Figure 5-63 displays to confirm that all participants attached to the current Court History stage have been attached to the Event.

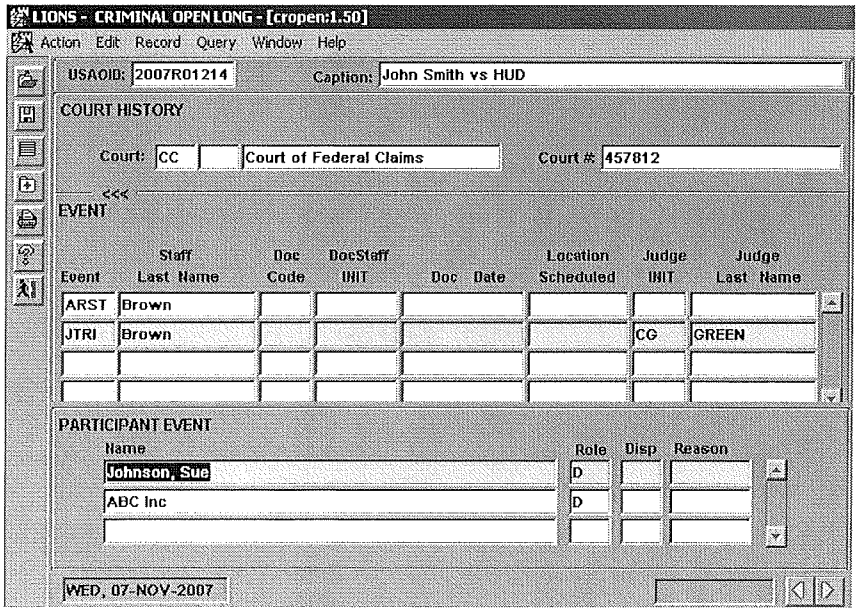

Figure 5-63: Participant Event

If **Rel** (Related) is **N** (No), upon selecting **Judge INIT** the **RELATE PARTICIPANTS TO AN EVENT** screen shown in Figure 5-64 displays.

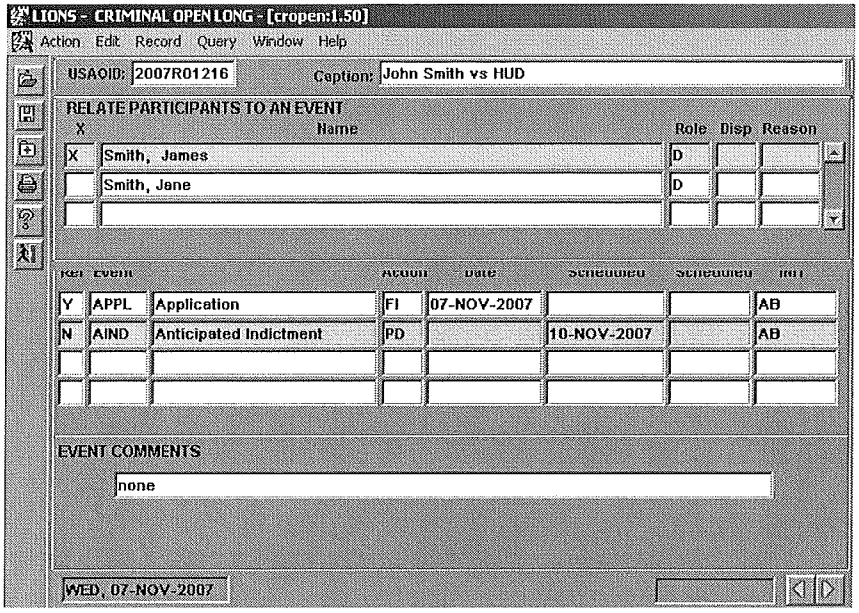

Figure 5-64: Select Participants Related to an Event

- Place an **X** in the box before the name of a participant to attach the participant to the Event. Press ENTER to return to the **PARTICIPANT EVENT** block.

As shown in Figure 5-65 the **PARTICIPANT EVENT** block confirms that the selected participant has been attached to the Event.

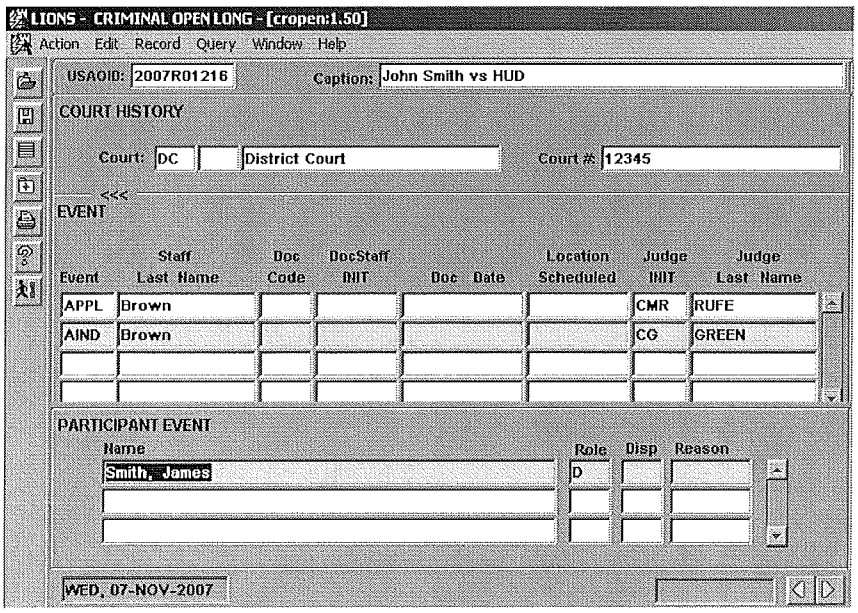

Figure 5-65: Selected Participants Event Block

If there are more events to be entered, press **TAB, ENTER** or **CONTROL + PAGE UP** to return to the **EVENT** screen and enter additional events.

If all participants have been related to all relevant events, press **CONTROL + PAGE DOWN** or press to go to the **RELATED CASE** screen shown in Figure 5-66.

5.6.13. Related Case

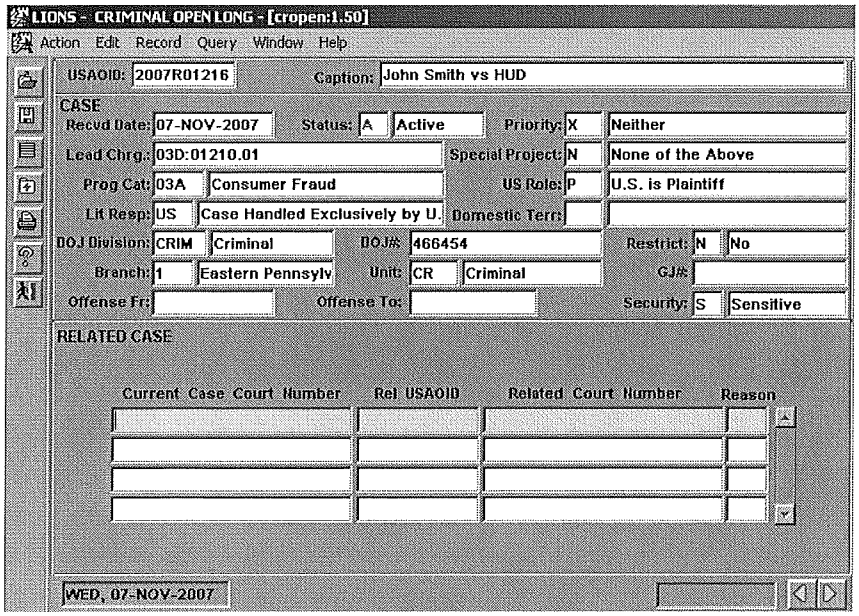

Figure 5-66: Related Case

To relate one case to another case, or to relate the current case to a case that is no longer in LIONS:

Current Case Court Number - Type an **X** in the field and press **TAB** or **ENTER** to automatically enter the current court number

OR

Press **F9** and select from a list of court numbers for the current case.

Use the **UP** or **DOWN ARROW** to highlight the court number and press **ENTER**.

Rel USAOID (Related USAOID) - Enter the **USAOID** of the case related to the current case.

Related Court Number - Enter the court number of the case you want to relate to the current case.

Reason – Press **F9** and select the reason the cases are related. This field is required if data has been entered in any of the other fields.

When you have finished entering the Related Case information, press **CTRL + PAGE DOWN** or click to go to the **CASE COMMENTS** block.

5.6.14. Case Comments

The following explains the values to be entered for the Case Comments screen, shown in Figure 5-67:

Case Comments – Enter text as you would in WordPerfect. You can enter approximately 35 lines of text. To see more of the comment screen, press **ALT + E** and select **Edit** from the menu.

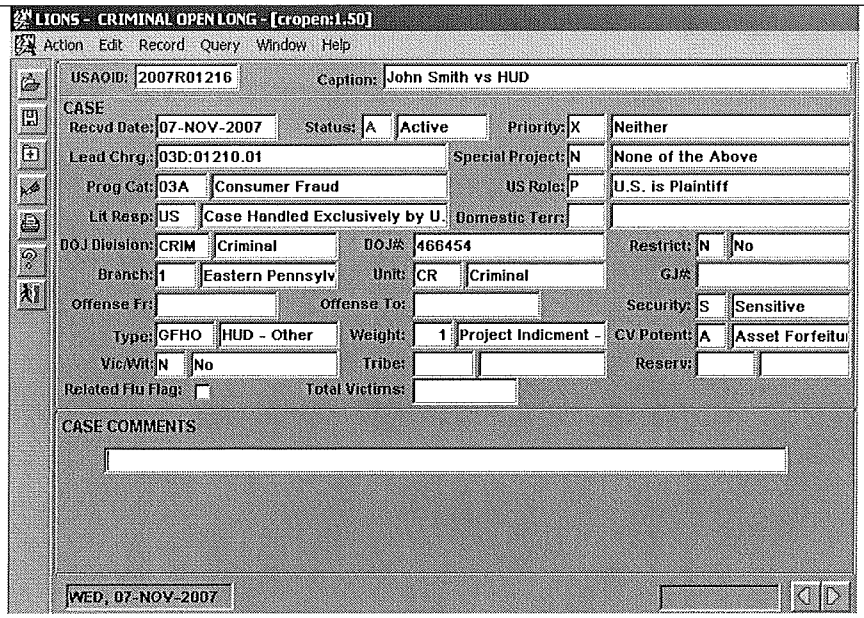

Figure 5-67: Case Comments

To **Save and Exit**, click on the **Exit** icon, and then click on **Yes**.

To **Exit without Saving**, click on the **Exit** icon, and then click on **No**.

To **Save and Continue** with the Criminal Open Long form, press **F6** in the Caption block and click on **Yes**.

6.0 CRIMINAL UPDATES AND CLOSING

Updates to criminal actions in LIONS may require adding information to existing records, changing information in existing records, or adding new records. The following table describes various types of updates and the steps necessary to accomplish them.

UPDATE	ACTION	PARAGRAPH
Criminal Updates and Closings	Introduction	6.0
Case Summary Option	Using the Case Summary Form for Updates and Closings	6.1
General Update Option	Using the General Update Option for Updates and Closings	6.2
Initial Court Filing	Close Participant Court Add new Court History Add additional participants, if necessary Attach participants to new Court History Add USAO Staff Assignments Add/Update Judge assignments, if necessary Add Instrument Add Charges and Counts Attach Counts to Defendants Add Comments, if necessary	6.3
Go from one Court to Another Court; e.g., Magistrate Court to District Court	Close existing Participant counts Add new Court History Add additional participants, if necessary Attach participants to the new Court History Add USAO Staff Assignments Add/Update Judge assignments, if necessary Add Instrument Add Charges and Counts Attach Counts to Defendants Add Comments, if necessary	6.4
Superseding Instrument - when the Court Number does not change	Close Participant Counts Add new Charges and Counts Attach Counts to Defendants Add Comments, if necessary	6.5
Judge Reassignments (Global)	Access Judge Reassignment form from Admin Module	6.6
Judge Reassignments (Individual)	Access Court History form	6.7
USAO Staff Reassignments (Global)	Access USAO Staff Reassignment form from Admin Module	6.8
USAO Staff Reassignments (Individual)	Access Court History form	6.9
Agency/Agent Information	Access Agency form	6.10

UPDATE	ACTION	PARAGRAPH
Restrict Case and other general Case Information	Access Restrict Matter/Case Access Case	6.11 6.12
Controlled Substance Information	Access Controlled Substance form	6.13, 6.14
Change Count, Sentence, or Restitution Information	Access Count Disp/Sentence/Restitution form	6.15
Defendant Status	Access Defendant Status form	6.16
Event/Scheduled Event Information	Access Event form	6.17
Evidence Information	Access Evidence form	6.18
Expert Information	Access Expert form	6.19
Assign DCMNS	Access Miscellaneous form	6.20
Opposing Counsel Information	Accessing Opposing Counsel form	6.21
Participant Information	Access Participant form	6.22
Triggerlock Information (Brady and Three-Strike)	Access Triggerlock form	6.23
Adding or changing information to Agency Office, Opposing Attorney, Expert, Judge, Evidence Location	Access Picklists from the Criminal pull-down menu, then click on the appropriate option	6.24
Closing	Closing Participants Closing the Case	6.25

All updates to a matter/case can be made using either the **Case Summary** Screen or the **Update, General Update** option. The Case Summary option is recommended when making several changes to an individual criminal action e.g., going from **Not in Court** to a **Court**. The General Update option is recommended if only one kind of change is being made e.g., scheduling events in multiple cases.

6.1. Case Summary

LIONS provides a form which the user can access all information about a matter or case. That screen is called Case Summary. To access this screen from either the Civil or Criminal pull-down menu, click on **Case Summary** or press the letter **C,** as shown Figure 6-1.

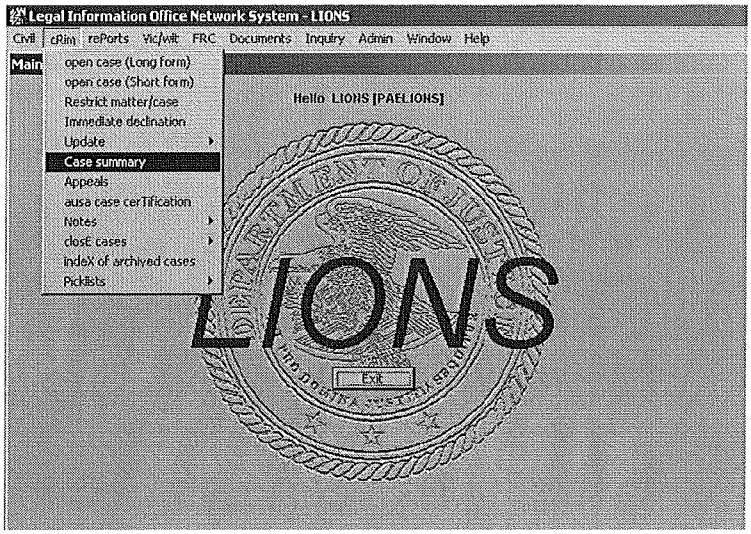

Figure 6-1: Criminal Case Summary

To access a criminal action from the Case Summary Screen, enter the **USAOID** and press **F8**. The Case Summary screen, shown in Figure 6-2, opens.

Any form for which the user **DOES NOT** have security permissions will be grayed out.

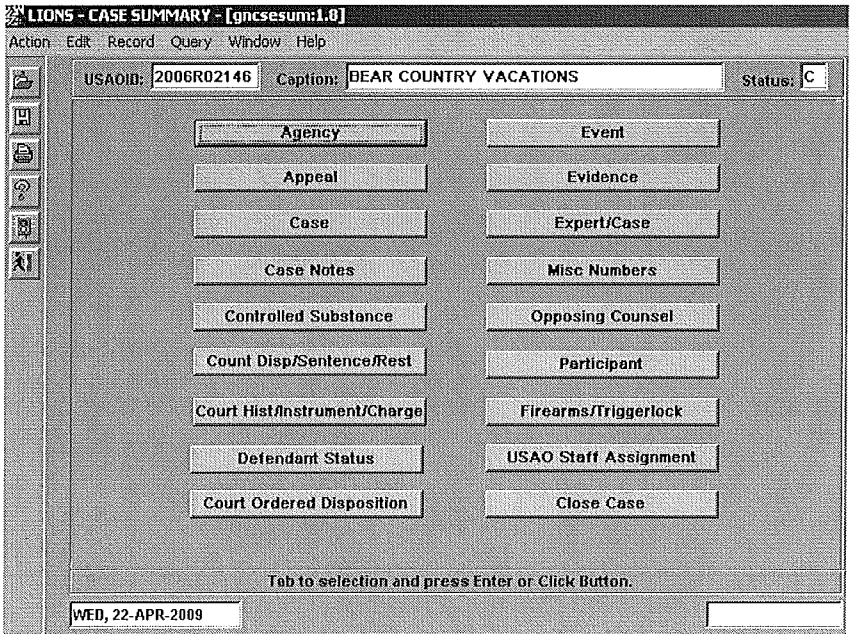

Figure 6-2: Case Summary

6.2. General Update

Select **Criminal, Update, General Update** from the LIONS Main Menu as shown Figure 6-3.

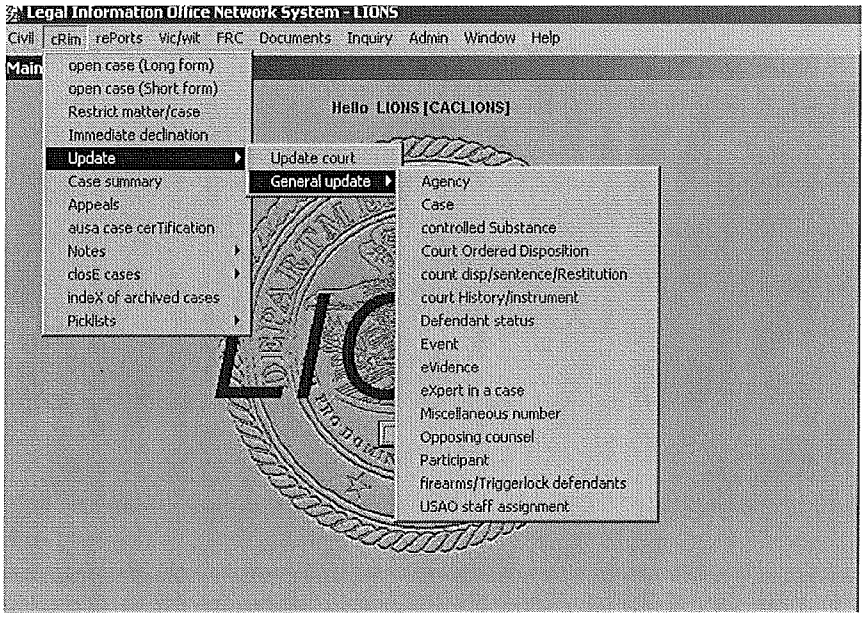

Figure 6-3: Criminal Update, General Update

Any form for which the user **DOES NOT** have security permissions will be grayed out.

6.3. Initial Court Filing (Not in Court to Court)

When moving a criminal action from **Not in Court** to a **Court**, the Court/Participant records for the existing Court History record must be closed and a new Court History record must be added.

Select **Court History/Instrument** from the **General Update** menu.

Enter the USAOID for the case being updated and press **F8**.

The Court History form for the requested case will display as shown in Figure 6-4.

6.3.1. Court History

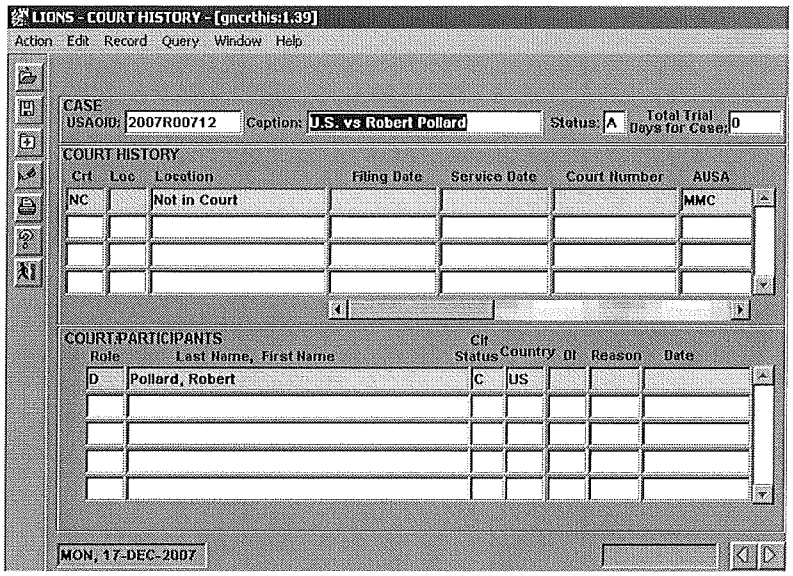
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
NC Not in Court MMC
COURT PARTICIPANTS
Role Last Name, First Name Cit Status Country DI Reason Date
D Pollard, Robert C US
MON, 17-DEC-2007

Figure 6-4: Court History

Highlight the **NC** (Not in Court) Court History record, and press **CTRL + PAGE DOWN** to go to the Court/Participant block. Tab to the **Di** (Disposition) field and enter the following:

Di (Disposition) – Press **F9** and select **NW** (New Filing) or manually enter NW.

Reason – Press **F9** and select the reason for the disposition.

Date - Enter the date the criminal action was filed in court

Repeat this for each participant in the **NC** that is being updated to a new court. When you have completed closing the Court/Participants, **CTRL + PAGE UP** back to the Court History block and press the down arrow or **F6** to go to a blank line and enter the following:

Crt (Court) – Press **F9** and select the appropriate court code.

Loc (Location) - Enter the appropriate court location code, if applicable

Filing Date - Enter the date the Instrument was filed in court.

Service Date – Not applicable to Criminal updates. The cursor will skip this field.

Court Number - Enter the docket number assigned to the criminal action by the court. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered. Because the Victim Notification System (VNS) links with the Electronic Case Filing (ECF) system, the following court number format will be enforced when the court selected is magistrate court or district court.

- Positions 1-2 are to be numeric - 2 digits, i.e. **11**.
- Position 3 is to be a dash. i.e. **-**.
- Positions 4-5 are to be alpha character - 2 characters, i.e. **CR**
- Position 6 is to be a dash, i.e. **-**.
- Positions 7-11 are to be numeric - all 5 positions must contain a digit. If the number is less than 5 digits, add leading zeros. i.e. **01234, 00123, 00012, 00001**.
- Values in positions 12 on are not looked at by VNS and are free for your use.

Examples: 11-CR-01234 11-CR-01234-E
11-CR-01234-1 11-CR-01234-01

Trial Days - Enter the number of trial days in the court. This field is optional. Whole days and partial days can be entered. Partial days must be entered as decimals.

Do not attempt to enter an AUSA code at this time. This is done further down in the form. For a detailed explanation of the Court History form see **Chapter 5, Section 5.6.2**.

After entering the new Court History, press **CTRL + PAGE DOWN** to go to the Court Participants block to attach participant(s) to the new court.

- Press **F9** and select a participant. LIONS will fill in the **Last Name, First Name**, **Cit Status** and **Country** codes from previously entered data.

  Repeat for each participant being attached to the new Court History record.

At least one defendant **MUST** be attached to the Court History.

If the participant is not in the LOV, follow the steps below to add additional participants:

Press **F3** or click the Go To button to access the Participant form to go to the Participant form.

Enter information for the Participant.

Press the **Exit** icon.

Press **Y (Yes)** to **Save** changes and return to the **COURT/PARTICIPANTS** block.

When you have completed attaching participants to the new Court, press **CTRL + PAGE DOWN** and enter Assignment information (see Figure 6-5.). Optionally, you can close the Assignment record that is attached to the **NC** (Not in Court) Court History Record.

6.3.2. Assignments

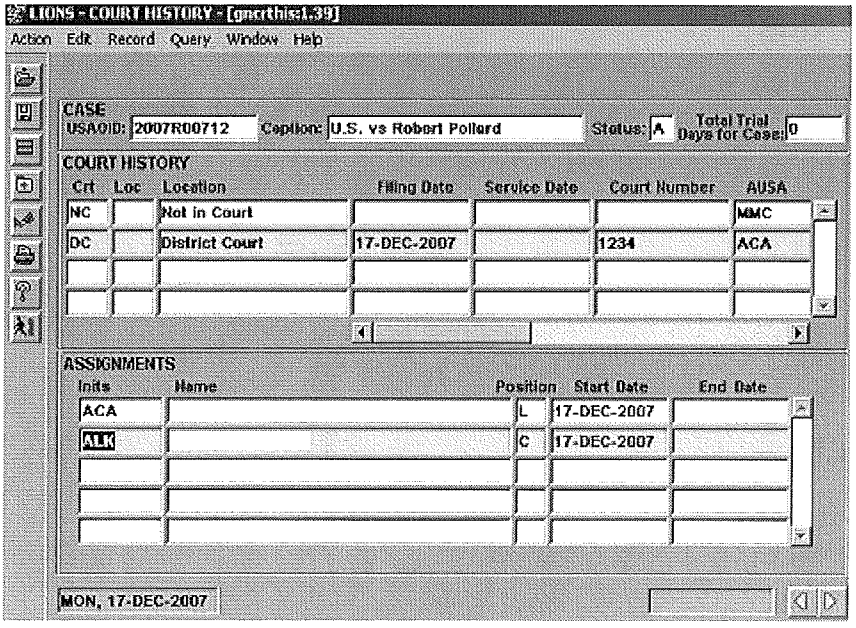
LIONS - COURT HISTORY - [courthist:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
NC Not in Court MMC
DC District Court 17-DEC-2007 1234 ACA
ASSIGNMENTS
Inits Name Position Start Date End Date
ACA L 17-DEC-2007
ALK C 17-DEC-2007
MON, 17-DEC-2007

Figure 6-5: Assignments

Inits - Press **F9** and select the assignment to the new Court History record. The first entry defaults to **L (Lead)**.

Position – Press **F9** and select the Position code for each assignment.

Start Date – This field defaults to the current date. If this is incorrect, enter the date the staff assignment was made.

End Date – The date an assignment ends.

From the assignment block, press **CONTROL + PAGE DOWN** or click on to go to the **COURT/JUDGES** block shown in Figure 6-6.

6.3.3. Court/Judges

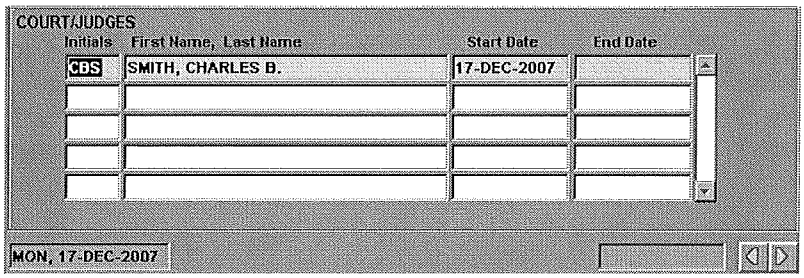

Figure 6-6: Court/Judges

Initials - Press **F9** and select the Judge assigned to the new Court History record.

Name – The field is defaulted, based on initials.

Start Date – This field defaults to the current date. If this is incorrect, enter the date the Judge was assigned to the case.

End Date – The date a Judge's assignment ends.

From the Court/Judge block, press **CONTROL + PAGE DOWN** or click on to go to the **INSTRUMENT** block shown in Figure 6-7.

6.3.4. Instrument

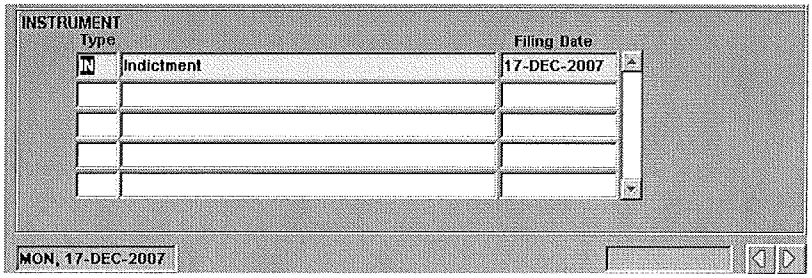

Figure 6-7: Instrument

Type - Press **F9** and select the appropriate instrument.

Filing Date - Enter the date the Instrument was filed.

From the Instrument block, press **CONTROL + PAGE DOWN** or click on to the **INSTRUMENT CHARGES** block shown in Figure 6-8.

6.3.5. Instrument Charges

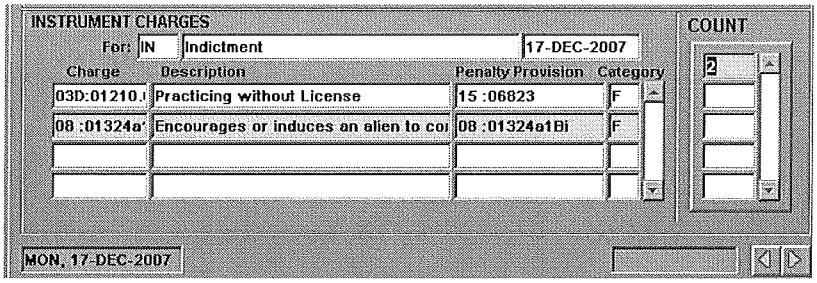

Figure 6-8: Instrument Charges

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

Charge – Press **F9** and enter the charge as stated in the instrument. The format for the charge is a two digit title; e.g., 08, followed by a space for the U.S. Code, a **T** for Territorial Codes, a **D** for District of Columbia Codes, an **R** for CFR violations, or an **S** for State violations, followed by a colon, five-digit section number, and subsections.

System Managers submit requests for new Global charge codes to TechOne.

Penalty Provision – Press **F9** and select the code for the penalty provision as stated in the instrument, if applicable. Penalty Provision codes may be entered manually. Include all characters in the section and subsection.

Category – Press **F9** and select one of the following codes, or enter the code manually.

F Felony

M Misdemeanor

P Petty Offense

If the **Charge** is from the **Code of Federal Regulations** (CFR), the category **MUST** be **P** (Petty Offense).

Count - Enter the count number(s) that pertain to the charge. Counts can be entered in one of two ways. If the charge is named in a successive number of counts; e.g., 1 through 5, you can enter 1-5 in the Count block. If the charges are named in non-successive counts; e.g., 1, 3, and 5, you must enter a 1, press the down arrow, enter a 3, press the down arrow, enter a 5, and so on.

When you have finished entering count information, press **TAB, ENTER** or **CONTROL + PAGE DOWN** or press to go to the **DEFENDANT** and **COUNT** blocks shown in Figure 6-9.

6.3.6. Defendant and Count

The Defendant and Count blocks are used to attach Defendants named in the new Court History record to specific Counts listed in the charging Instrument.

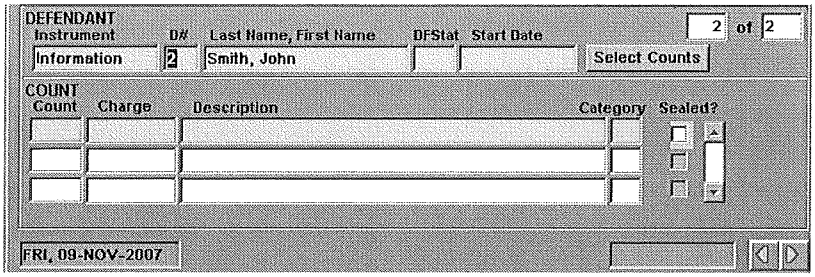

Figure 6-9: Defendant

6.3.7. Defendant

The Defendant block is a stacked block. All of the defendants attached to the new Court History record are listed in Defendant block for the highlighted Court. The counter in the upper right corner of the Defendant block shows the number of defendants attached to the Court History record. To select a Defendant:

Use the **UP** or **DOWN ARROW** to highlight the Defendant.

D# - If defendants were named in the indictment in a different order from the way they were originally entered on the Participant form, you can signify the defendants' order on the instrument, by entering the appropriate number in this field

This will not change the order that defendants appear on the Participant form; however, it will show the number that you have entered in this block.

Click on the **Select Counts** button to view all counts against the selected Defendant.

6.3.7.1. Select Counts

The Select Counts form is used to select specific counts in the charging Instrument that apply to the selected Defendant. All fields in this block are pre-populated with information entered previously.

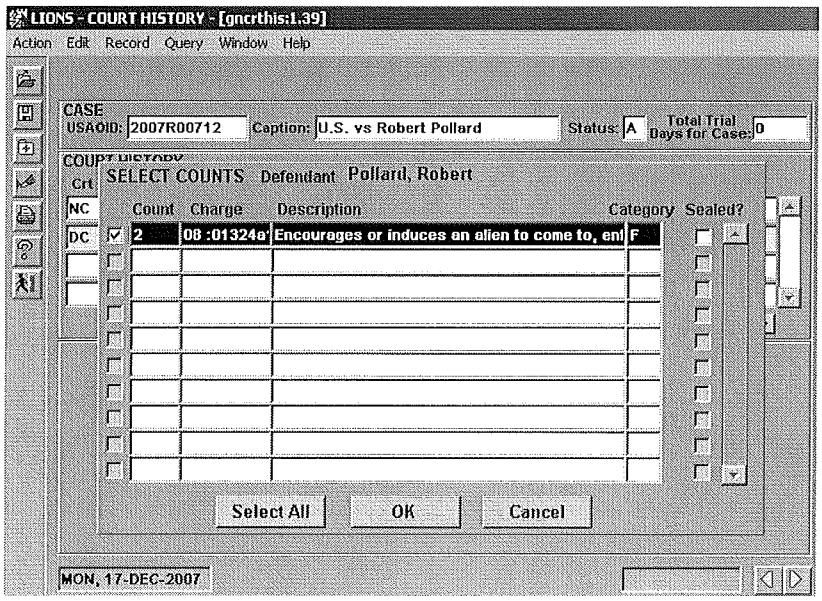

Figure 6-10: Select Counts

Click the check box preceding a Count to select it. If all Counts pertain to the Defendant, press **Select All**. To de-select all counts, press **Clear All**.

Click **OK**.

6.3.7.2. Count

As shown Figure 6-11, the Count Block now displays all Counts in the charging Instrument attached to a Defendant.

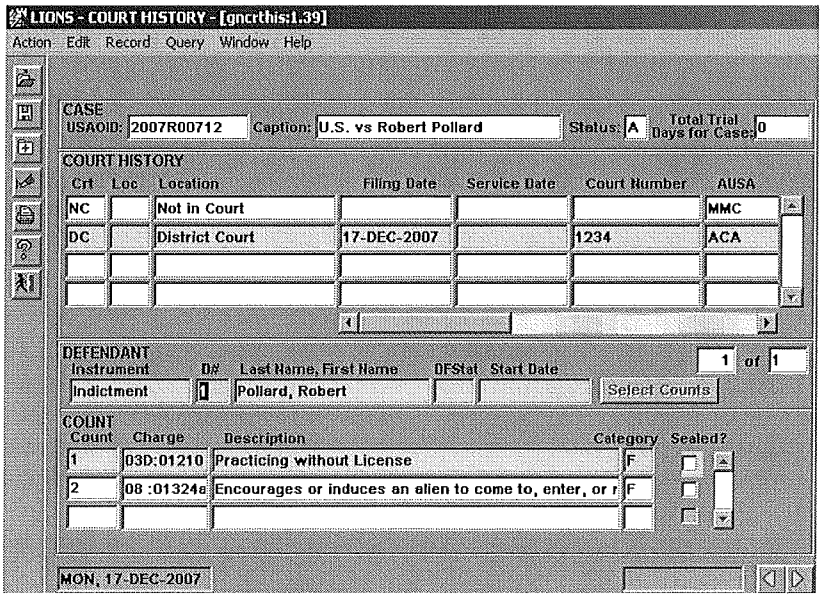
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
NC Not in Court MMC
DC District Court 17-DEC-2007 1234 ACA
DEFENDANT
Instrument D# Last Name, First Name DFStat Start Date
1 of 1
Indictment 1 Pollard, Robert Select Counts
COUNT
Count Charge Description Category Sealed?
1 03D:01210 Practicing without License F
2 08 :01324a Encourages or induces an alien to come to, enter, or r F
MON, 17-DEC-2007

Figure 6-11: Count

Sealed? - Click the checkbox for each defendant's count to be sealed.

If at least one count is sealed, LIONS will automatically seal the case at the case level (the security field will be set to '**L**'). If all counts for all defendants are unsealed, the case will be unsealed at the case level (the security field will be nulled out).

When you have completed attaching counts to the defendant, **TAB, ENTER** or **CONTROL + PAGE DOWN** or press to go to **COURT HISTORY COMMENT** block shown in Figure 6-12, if applicable.

Figure 6-12: Court History Comment

Save and exit the form.

6.4. Changing from One Court to Another

When you are updating a criminal action to go from one Court to another Court; e.g., Magistrate Court to District Court, you must close the Participant Count records for the old court, before adding the new court information.

6.4.1. Count Disposition/Sentence/Restitution

Access the Count Disp/Sentence/Restitution form from the LIONS Criminal General Update menu or Case Summary screen as shown in Figure 6-13.

Enter the USAOID for the case to be updated and press **F8**.

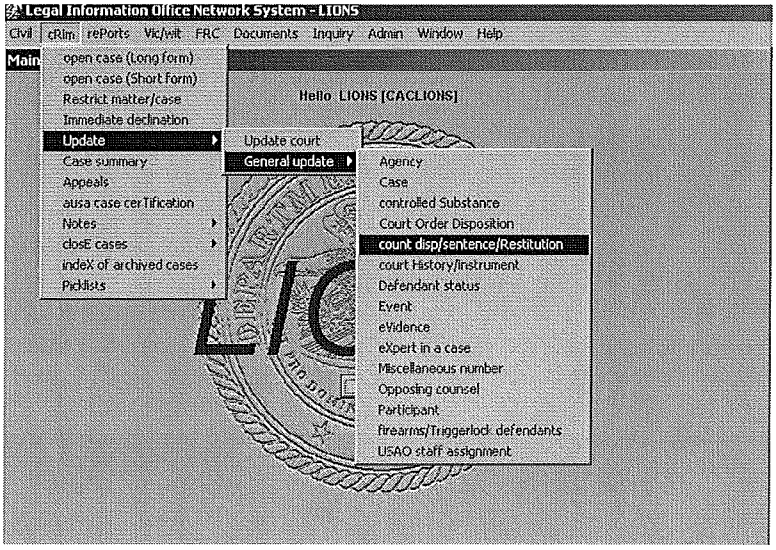

Figure 6-13: Criminal, Update, General Update - Count Disposition, Sentence/Restitution

The **Count Disposition/Sentence/Restitution** form for the requested case will open as shown in Figure 6-14.

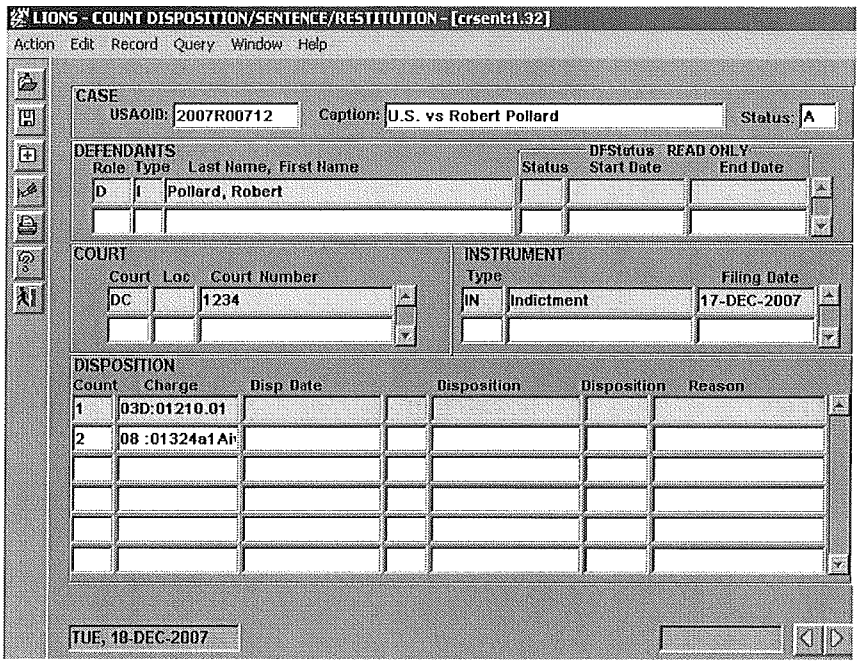

Figure 6-14: Count Disposition/Sentence/Restitution

Before entering any data in this form, be sure that the proper defendant, court, and instrument are all highlighted. The easiest way to do this is with the mouse. Go to the Disposition block and enter the following information:

Disp Date - Enter the new court filing date.

Disposition – Enter **NW** (New Filing). This code goes immediately after Disp. Date.

Disposition Reason – Enter the code that represents the new instrument; e.g., INDT (Indictment). (LOV) This code goes immediately after the disposition reason descriptions.

Repeat this information for each count and for each defendant, as appropriate. When you have completed closing the counts, save and exit the form.

6.4.2. Court History – New Court Information

Access the Court History form to enter the new court information, as shown in Figure 6-15.

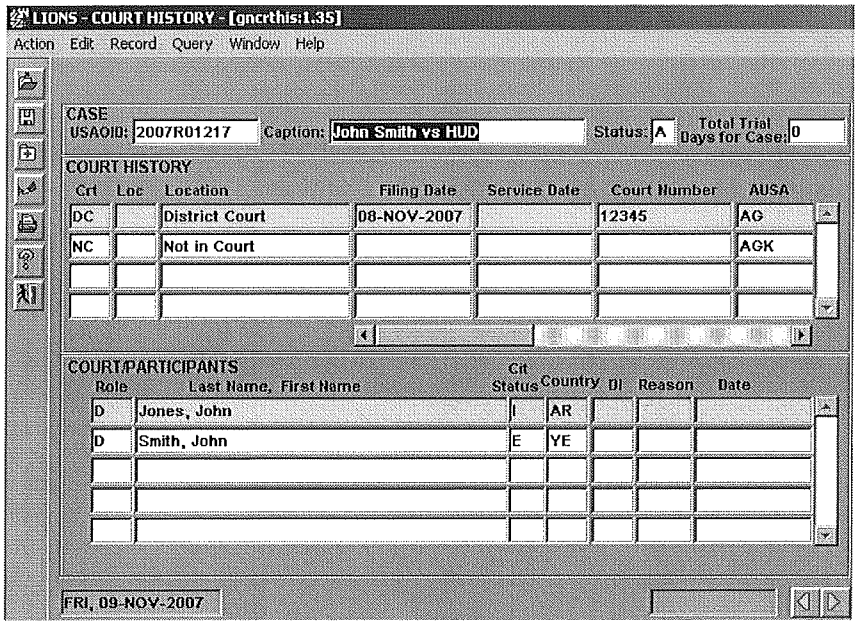
LIONS - COURT HISTORY - [gncrthis:1.35]
Action Edit Record Query Window Help
CASE
USAOID: 2007R01217
Caption: John Smith vs HUD
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 08-NOV-2007 12345 AG
NC Not in Court AGK
COURT/PARTICIPANTS
Role Last Name, First Name Crt Status Country DI Reason Date
D Jones, John I AR
D Smith, John E YE
FRI, 09-NOV-2007

Figure 6-15: Court History

DOWN ARROW to a blank line in the Court History block or press **F6** to insert a blank line:

Court – Press **F9** and select the appropriate court.

Loc (Location) - Enter the court location, if applicable. Location codes are established by the district.

Filing Date - Enter the date the criminal action was filed in the new court

Service Date - This field applies to **civil only**; the cursor will skip it.

Court Number - Enter the docket number assigned to the criminal action by the court. This field is required when a court code other than **NC** (Not in Court), or **PN** (Post-Disposition Not in Court) has been entered. Because the Victim Notification System (VNS) links with the Electronic Case Filing (ECF) system, the following court number format will be enforced when the court selected is magistrate court or district court.

- Positions 1-2 are to be numeric - 2 digits, i.e. **11**.
- Position 3 is to be a dash. i.e. **-**.
- Positions 4-5 are to be alpha character - 2 characters, i.e. **CR**
- Position 6 is to be a dash, i.e. **-**.
- Positions 7-11 are to be numeric - all 5 positions must contain a digit. If the number is less than 5 digits, add leading zeros. i.e. **01234, 00123, 00012, 00001**.
- Values in positions 12 on are not looked at by VNS and are free for your use.

Examples: 11-CR-01234
11-CR-01234-E
11-CR-01234-1
11-CR-01234-01

Trial Days - Enter the number of trial days in the court. This field is optional. Whole days can be entered as a single numeral. Partial days must be entered as a decimal fraction e.g., 1.5, 2.25.

DO NOT select a code for the AUSA at this time.

When you have completed adding court information, **CONTROL + PAGE DOWN** to the **COURT/PARTICIPANTS** block to attach Participants to the new Court History record.

6.4.2.1. Court/Participants

Press **F9** and select a participant.

Repeat for each participant being attached to the new Court History record.

LIONS will fill in the **Last Name, First Name**, **Cit Status** and **Country** codes from previously entered data.

At least one **Defendant MUST** be attached to the new Court History record.

If the Participant is new to the case being updated and is not in the LOV:

Press **F3** to go to the **PARTICIPANT** form for the case as shown in Figure 6-16.

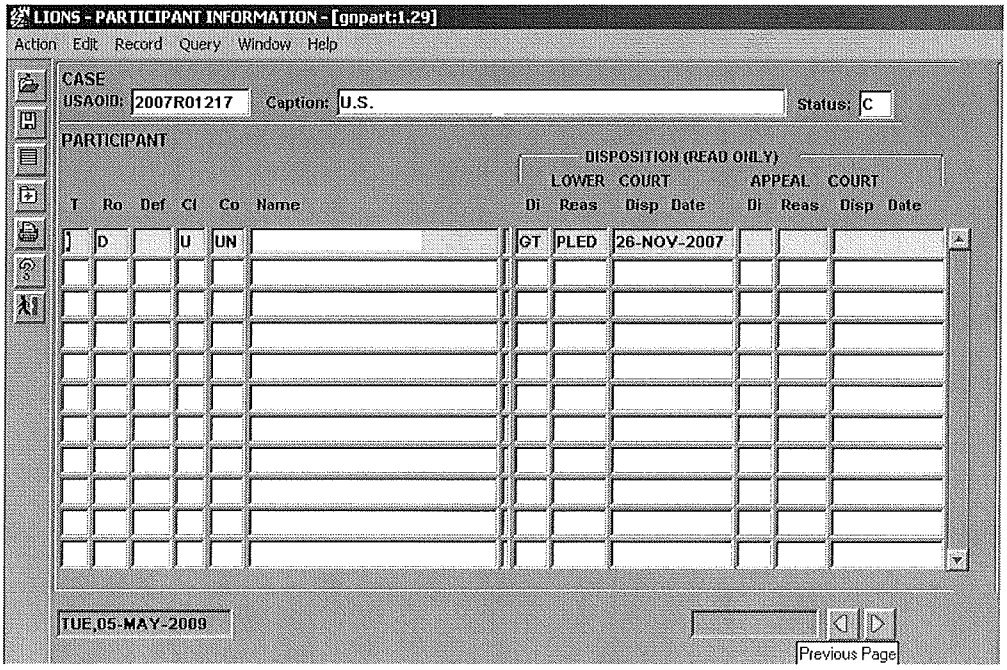

Figure 6-16: Participant

- Press F9 and select a code for the new Participant **Type, Role**, **Citizenship**, and **Country**.
- Enter the Last and First Name of the new Participant.

CONTROL + PAGE UP or click on to the **PARTICIPANT INFORMATION** block shown in Figure 6-17.

Citizenship Status and **Country** fields will be defaulted from previous entries. **Cit Status** of **U** (Unknown) should only be used until the information becomes available.

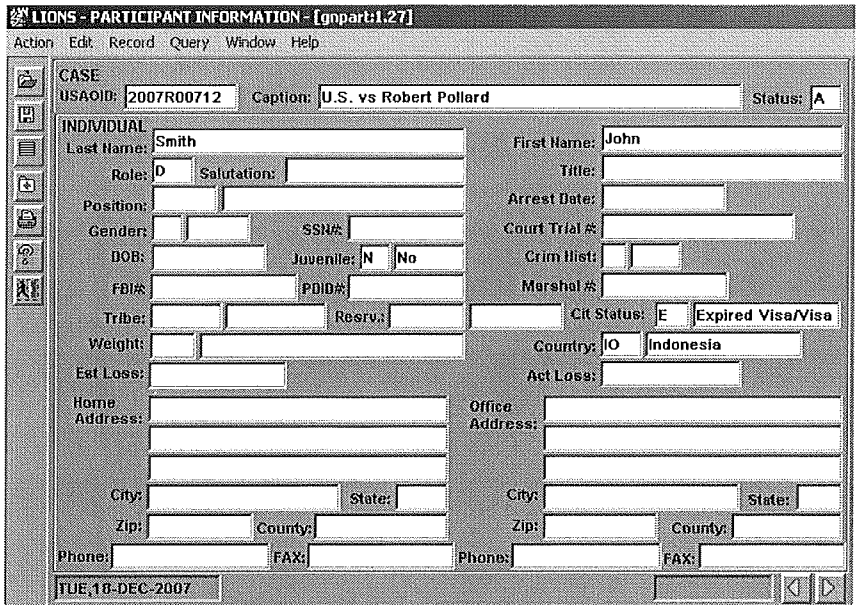
LIONS - PARTICIPANT INFORMATION - [gnpart:I.27]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A
INDIVIDUAL
Last Name: Smith First Name: John
Role: D Salutation: Title:
Position: Arrest Date:
Gender: SSN#: Court Trial #:
DOB: Juvenile: N No Crim Hist:
FBI#: PDID#: Marshal #:
Tribe: Resrv.: Cit Status: E Expired Visa/Visa
Weight: Country: IO Indonesia
Est Loss: Act Loss:
Home Address: Office Address:
City: State: City: State:
Zip: County: Zip: County:
Phone: FAX: Phone: FAX:
TUE,18-DEC-2007

Figure 6-17: Participant Information (Individual Participant)

CONTROL + PAGE DOWN or press to access additional screens that can be used to capture detailed information about the participant. See *Chapter 5, Criminal Initiation Section 5.7.5 Participant* for more information on the forms.

Press the **Exit** icon.

Press **Y (Yes)** to **Save** the changes and return to the **COURT/PARTICIPANTS** block.

If **Cit Status** is **U** (Unknown), LIONS will continue to prompt the user to update the field.

As shown in Figure 6-18, the new Participant now appears in the **COURT PARTICIPANTS** block.

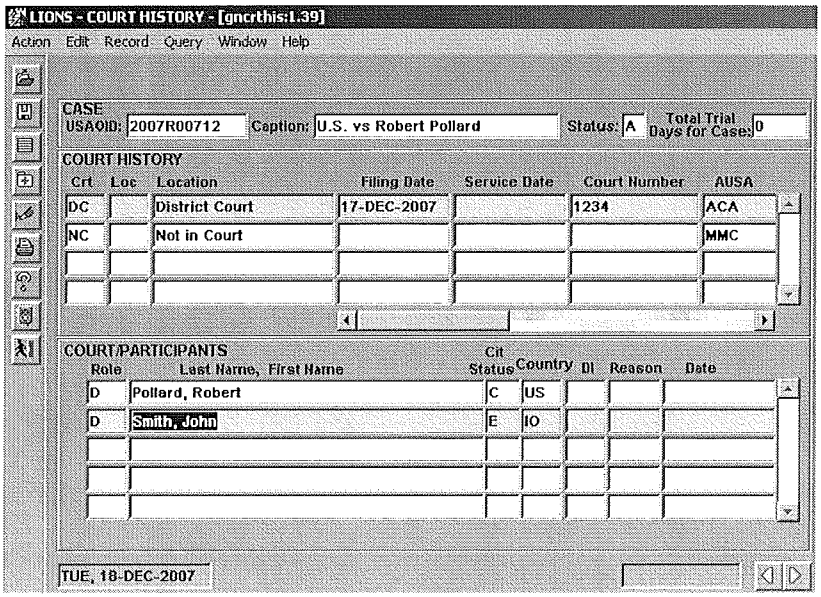
LIONS - COURT HISTORY - [gncrthis:I.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 ACA
NC Not in Court MMC
COURT/PARTICIPANTS
Role Last Name, First Name Cit Status Country DI Reason Date
D Pollard, Robert C US
D Smith, John E IO
TUE, 18-DEC-2007

Figure 6-18: New Participant Added

When you have completed attaching participants to the new Court, press **CTRL + PAGE DOWN** and enter Assignment information (see Figure 6-19). Optionally, you can close the Assignment record that is attached to the **NC** (Not in Court) Court History record.

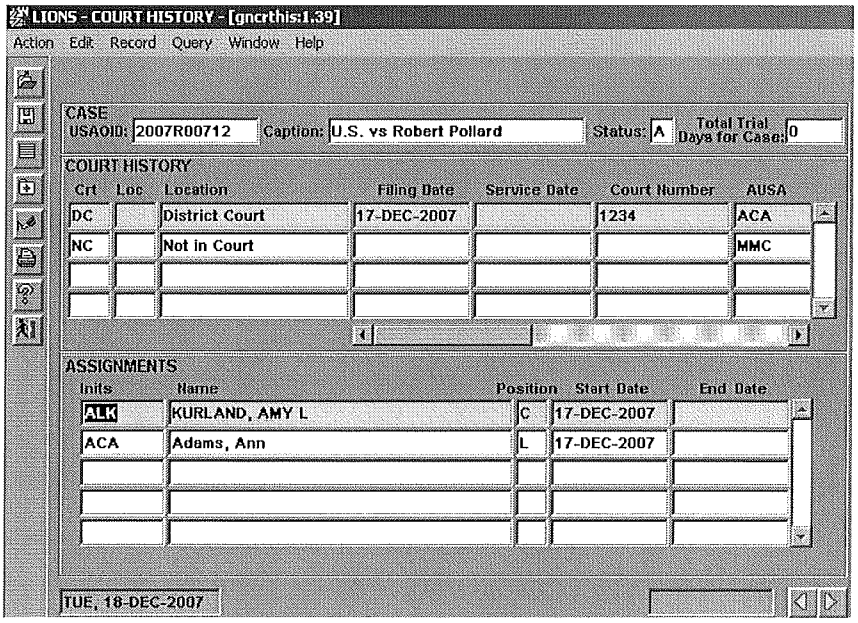
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 ACA
NC Not in Court MMC
ASSIGNMENTS
Inits Name Position Start Date End Date
ALK KURLAND, AMY L C 17-DEC-2007
ACA Adams, Ann L 17-DEC-2007
TUE, 18-DEC-2007

Figure 6-19: Assignments

6.4.2.2. Assignments

The Lead AUSA must be entered and the Victim Witness Coordinator, if applicable. Other staff assignments can be entered and tracked, but are not required.

- **Inits** (Initials) – Press **F9** and select the initials of the Lead AUSA assigned to the case. LIONS will automatically fill in the name based on the initials selected. The position field defaults to **L**.

  Press **F9** and select remaining staff member(s) assigned to the matter or case. LIONS will automatically fill in the staff member's name based on the initials entered. Inits is a Local Code assigned by the Districts.

Position – Press **F9** and select a code for each staff member's position.

If Vic/Wit is Y, a Victim/Witness Coordinator MUST be entered.

Victim Witness Coordinator – Press **F9** and select the Victim Witness Coordinator, if applicable. The name will automatically be filled in based on the initials entered.

Start Date – This field defaults to the current date. If this is incorrect, enter the date the staff assignment was made.

End Date – The date assignment to the case ends.

From the assignment record, **CONTROL + PAGE DOWN** or click on to go to the **COURT/JUDGES** block shown in Figure 6-20.

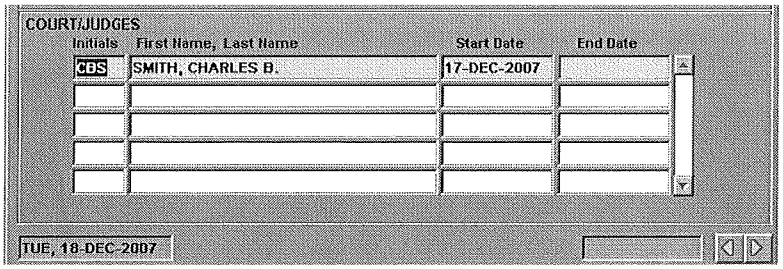

Figure 6-20: Court/Judges

6.4.2.3. Courts/Judges

- Optionally, the current Judge in the Court/Judges block can be closed by entering an end date.

Initials - Press **F9** and select the Judge assigned to the new Court History record.

Start Date – This field defaults to the current date. If this is incorrect, enter the date the Judge was assigned to the case.

End Date – The date a Judge's assignment to the case ends.

Figure 6-21 shows the updated **COURT/JUDGES** block.

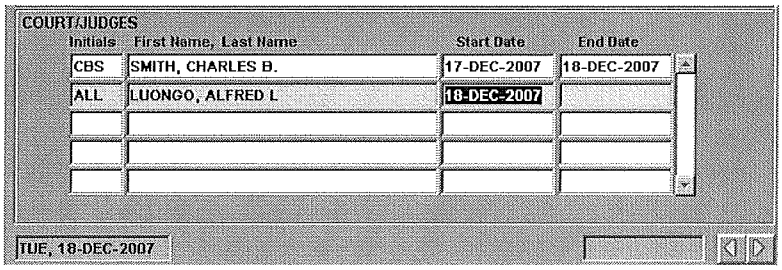

Figure 6-21: Updated Court/Judges

From the Court/Judge block, press **CONTROL + PAGE DOWN** or click on to go to the **INSTRUMENT** block shown in Figure 6-22.

6.4.2.4. Instrument

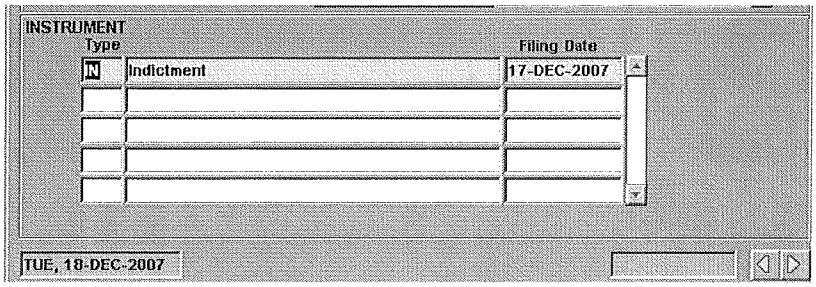

Figure 6-22: Instrument

Type - Press **F9** and select the type of Instrument

Filing Date - Enter the date the Instrument was filed.

From the Instrument block, press **CONTROL + PAGE DOWN** or click on to go to the **INSTRUMENT CHARGES** block shown in Figure 6-23.

6.4.2.5. Instrument Charges

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

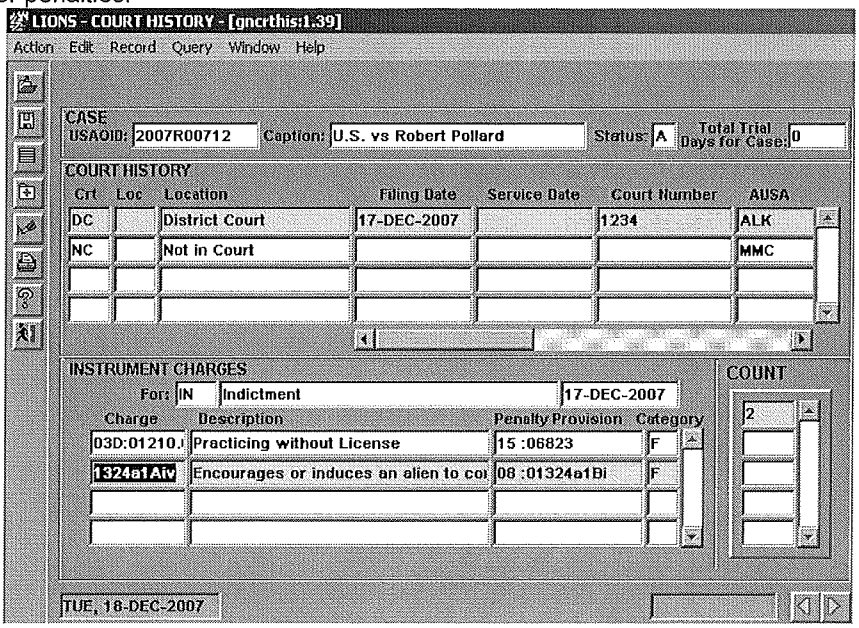
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 ALK
NC Not in Court MMC
INSTRUMENT CHARGES
For: IN Indictment 17-DEC-2007
Charge Description Penalty Provision Category
03D:01210.I Practicing without License 15 :06823 F
1324a1Aiv Encourages or induces an alien to coi 08 :01324a1Bi F
COUNT
2
TUE, 18-DEC-2007

Figure 6-23: Instrument Charges

Charge – Press **F9** and enter the charge as stated in the instrument. The format for the charge is a two digit title; e.g., 08, followed by a space for the U.S. Code, a **T** for Territorial Codes, a **D** for District of Columbia Codes, an **R** for CFR violations, or an **S** for State violations, followed by a colon and five digit section number and subsections.

Penalty Provision – Press **F9** and select the code for the penalty provision as stated in the instrument, if applicable. Penalty Provision codes may be entered manually. Include all characters in the section and subsection.

Category – Press **F9** and select one of the following Category codes, or enter the code manually.

F Felony

M Misdemeanor

P Petty Offense

If the **Charge** is from the **Code of Federal Regulations** (CFR), the category **MUST** be **P** (Petty Offense).

Count - Enter the count number(s) that pertain to the charge. Counts can be entered in one of two ways. If the charge is named in a successive number of counts; e.g., 1 through 5, you can enter 1-5 in the Count block. If the charges are named in non-successive counts; e.g., 1, 3, and 5, you must enter a 1, press the down arrow, enter a 3, press the down arrow, enter a 5, and so on.

When you have completed entering the count information, press **TAB, ENTER** or **CONTROL + PAGE DOWN** or press to go to the **DEFENDANT** and **COUNT** blocks shown in Figure 6-24.

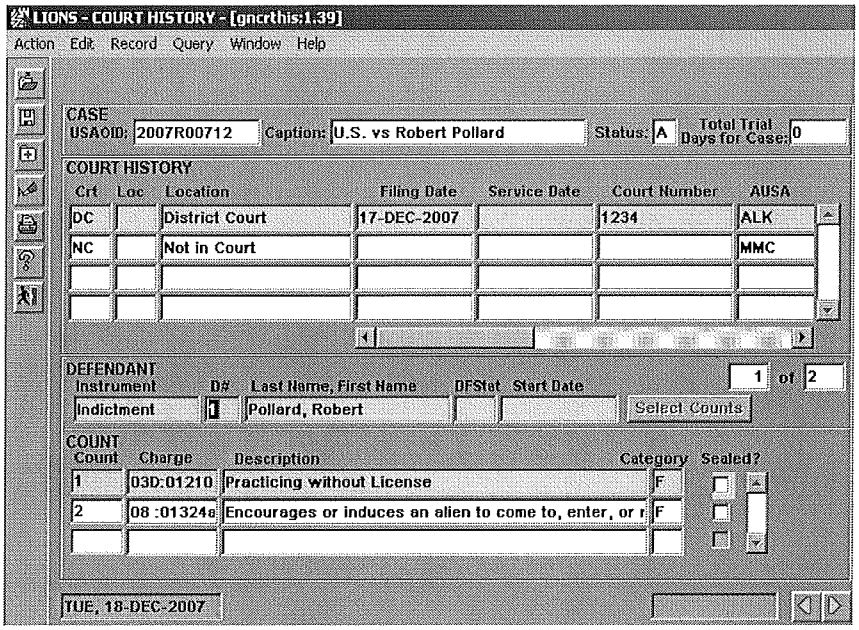
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 ALK
NC Not in Court MMC
DEFENDANT
Instrument D# Last Name, First Name DFStat Start Date
1 of 2
Indictment 1 Pollard, Robert
Select Counts
COUNT
Count Charge Description Category Sealed?
1 03D:01210 Practicing without License F
2 08 :01324a Encourages or induces an alien to come to, enter, or r F
TUE, 18-DEC-2007

Figure 6-24: Defendant and Count

6.4.2.6. Defendant

The Defendant block is a stacked block containing all defendants previously attached to the new Court History record. The counter in the upper right corner of the block indicates the number of Defendants and the relative position of each. Use the **UP** and **DOWN ARROWS** to move through the stack.

Instrument and **Last Name, First Name** fields are pre-populated with information from the Court History record.

D# (Defendant) – LIONS defaults to the order in which defendants were originally entered. If the order in which Defendants are listed in the charging instrument is different, enter the number representing the order of the Defendant in the charging instrument.

Changes to the **Def#** field do **NOT** change the order Participants appear in the Participant screen.

Click on the **Select Counts** button in the **DEFENDANT** block to see all counts in the charging instrument attached to the Defendant as shown in Figure 6-25 .

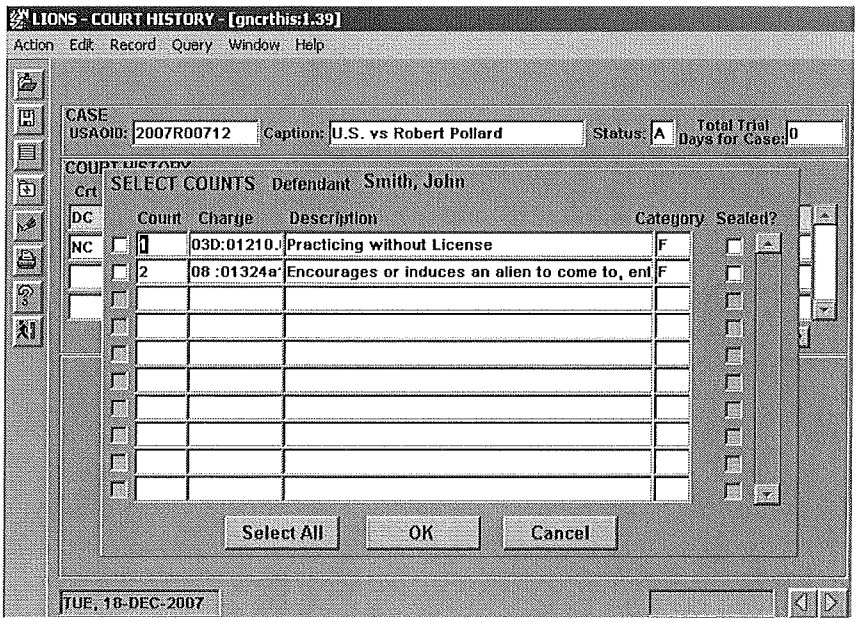

Figure 6-25: Select Counts

Click in the checkbox preceding a count to select. If all counts are applicable to the Defendant press **Select All.**

Sealed? – Click in the checkbox to seal the charge. If at least one count is sealed, LIONS will automatically seal the case at the case level (the security field will be set to 'L'). If all counts for all Defendants are unsealed, the case will be unsealed at the case level (the security field will be nulled out). Counts can also be sealed in the **COUNT** block.

Press **OK** to exit **Select Counts** and return to the **DEFENDANT** and **COUNT** blocks.

6.4.2.7. Count

Count, Charge, Description and **Category** fields will be filled in automatically based upon the count(s) selected.

When you have completed attaching counts to the defendants, press **CONTROL + PAGE DOWN** or press to go to the **COURT HISTORY COMMENT** block shown in Figure 6-26.

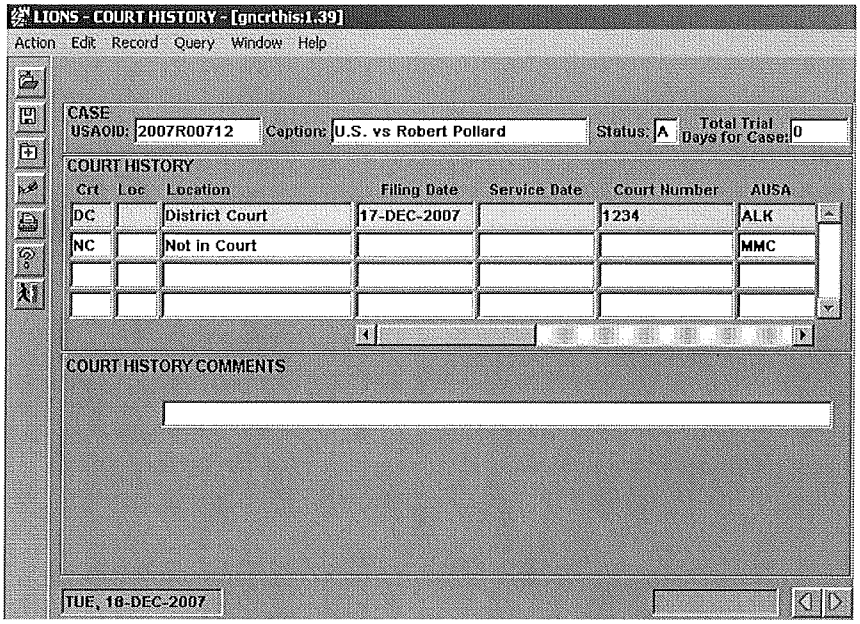
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 ALK
NC Not in Court MMC
COURT HISTORY COMMENTS
TUE, 18-DEC-2007

Figure 6-26: Court History Comments

6.5. Superseding Instrument (when the court number does not change)

If a superseding instrument is filed and **the court number does not change**, you will need to close the counts of the preceding instrument before adding the new one.

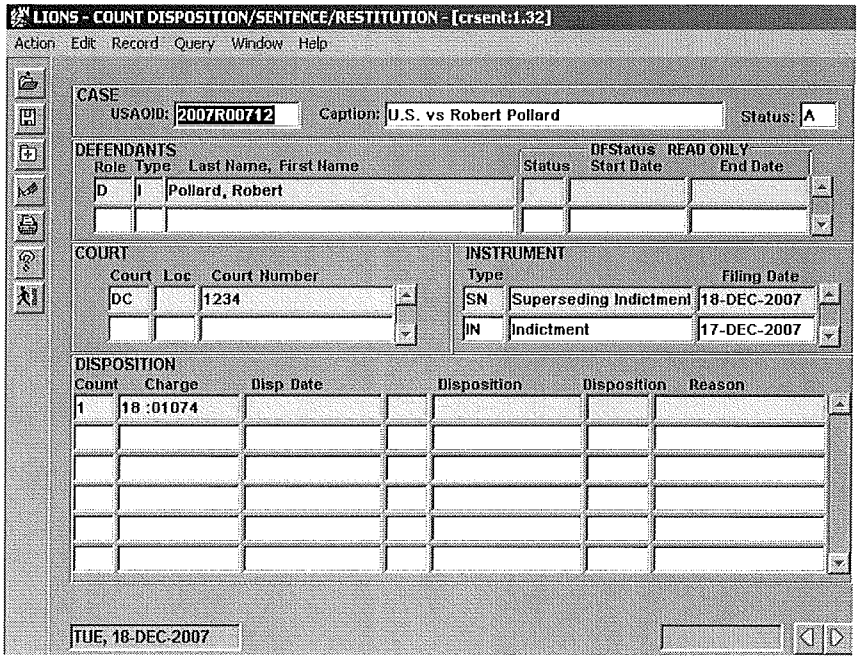

Figure 6-27: Count Disposition/Sentence/Restitution

Before entering any data in this form (shown in Figure 6-27), be sure that the proper defendant, court, and instrument are all highlighted. The easiest way to do this is with the mouse. Go to the Disposition block and enter the following information:

Disp Date - Enter the new court filing date.

Disposition – Press **F9** and select **NW** or enter **NW** (New Filing).

Disposition Reason – Press **F9** and select a code for the new (superseding) instrument.

Repeat this information for each count for each defendant, as appropriate. When you have completed closing the counts, save and exit the form. Return to the Court History form and add the instrument. Highlight the appropriate court in the Court History block. If any changes have been made to USAO assignments or the Judge, then access the appropriate blocks of information and make the necessary changes. Refer to Section 6.3.1 for instructions on entering Assignments and Judges.

At the Instrument block add the superseding instrument.

Press the down arrow or **F6** to go to a blank Instrument record and enter the appropriate Instrument; e.g., **SN** (Superceeding Indictment), and Filing Date.

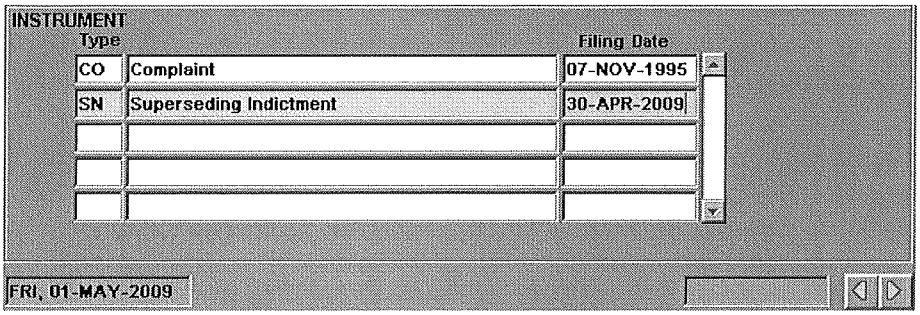

Figure 6-28: Instrument Block

From the Instrument block, press **CTRL + PAGE DOWN** to go to the Instrument Charges block.

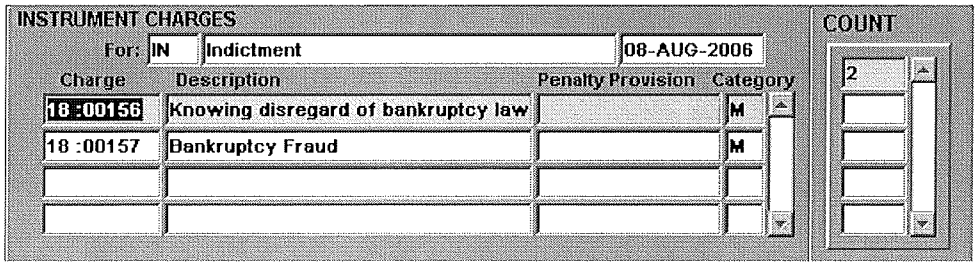

Figure 6-29: Instrument Charges Block

Enter the following information for each charge listed in the charging instrument. Note that only one charge per count should be entered. The other statutory references in a count may be jurisdiction, aiding and abetting, or penalties.

Charge - Enter the charge as stated in the instrument. The format for the charge is a two digit title; e.g., 08, followed by a space for the U.S. Code, a **T** for Territorial Codes, a **D** for District of Columbia Codes, an **R** for CFR violations, or an **S** for State violations, followed by a colon and five digit section number. In addition you can add subsections; e.g., (A)(1)(a).

Penalty Provision - Enter the penalty provision as stated in the instrument, if applicable. The format for the penalty is the same as stated above. Also, this field accepts Code of Federal Regulations.

Category - Enter one of the following. (LOV)

F Felony

M Misdemeanor

P Petty Offense

If the **Charge** is from the **Code of Federal Regulations** (CFR), the category must be **P** (Petty Offense).

Count - Enter the count number(s) that pertain to the charge. Counts can be entered in one of two ways. If the charge is named in a successive number of counts; e.g., 1 through 5, you can enter 1-5 in the Count block. If the charges are named in non-successive counts; e.g., 1, 3, and 5, you must enter a 1, press the down arrow, enter a 3, press the down arrow, enter a 5, and so on.

When you have completed entering the count information, press **CTRL + PAGE DOWN** to go to the Defendant block.

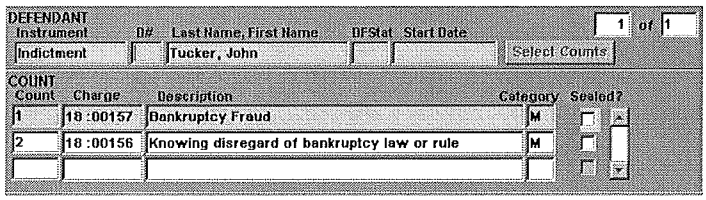

Figure 6-30: Defendant and Count Blocks

All of the defendants that were previously attached to the Court History will be in this block. Check the counter to the right of the Defendant block to determine if there is more than one defendant present. Enter the following information in the Defendant block.

Click on the **Select Counts** button, select the defendant(s) and press **OK** or **Select All**.

D# - If defendants were named in the superseding instrument in a different order from the way they were originally entered on the Participant form, signify the defendant's order on the instrument by entering the appropriate number. For example, the first defendant that appears in the Defendant block may be the second person named on the Instrument. If that is the case enter a 2. This can be done for each defendant named in the Instrument.

This will not change the order that participants appear on the Participant form.

When you have completed attaching counts to the defendants, press **CTRL + PAGE DOWN** to enter a Court History comment, if applicable.

Figure 6-31: Court History Comments Block

6.6. USAO Staff Reassignments (Global)

6.6.1. Reassignment Form

To reassign multiple criminal actions from one USAO staff member to another, or from one Judge to another Judge use the Reassignment form as shown in Figure 6-23 below. Access the Reassignment form from the LIONS Main Menu. Click on Admin, and then click on Staff or Judge Reassignment.

Note: If you do not have access to the Admin module, check with your System Manager for assistance.

When you use the Reassignment form you must choose the Staff **OR** Judge block. You cannot make reassignments to Staff and Judge at the same time.

Select **Admin**[1], **Staff or Judge Reassignment** from the LIONS Main Menu as shown in Figure 6-32.

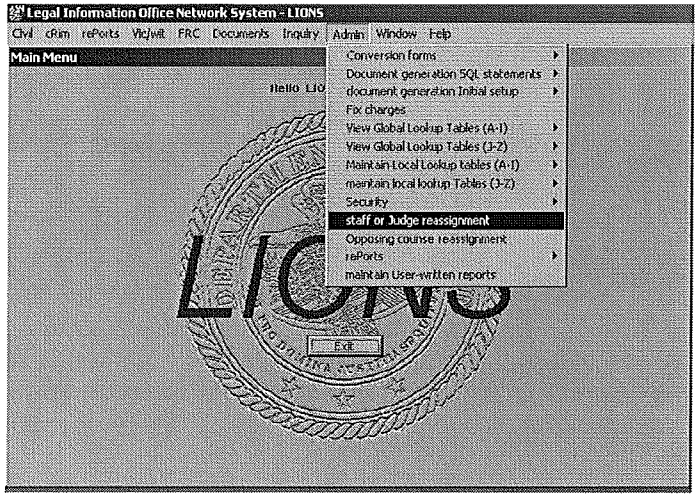

Figure 6-32: Staff or Judge Reassignment (Global)

The **REASSIGNMENT** form shown Figure 6-33 opens.

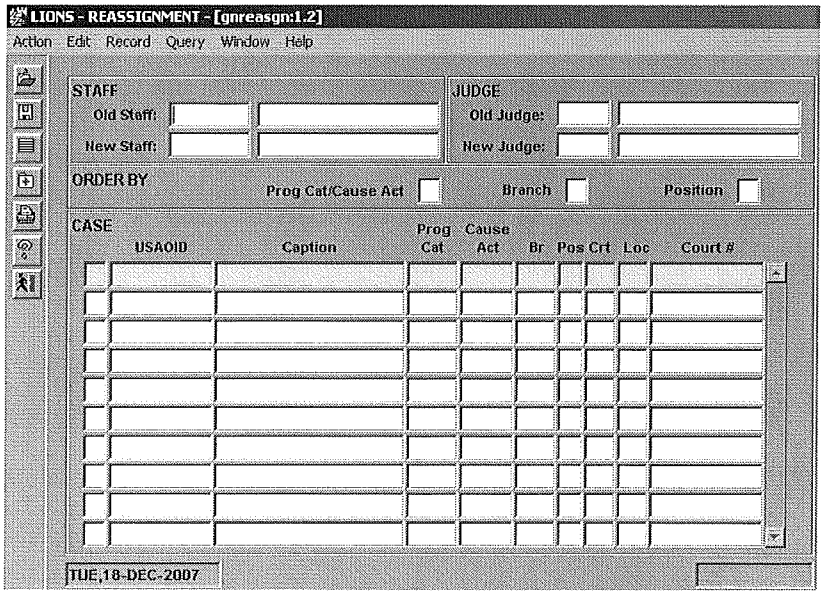

Figure 6-33: Reassignment Form

[1] See System Manager for access to Admin menu.

Choose the Staff **OR** Judge block. Reassignments **CANNOT** be made for Staff **AND** Judge at the same time.

6.6.1.1. Staff

Old Staff – Press **F9** and select the initials of the staff member currently assigned.

New Staff - Press **F9** and select the initials of the staff member being assigned.

6.6.1.2. Order By

An **Order By** option must be selected.

Put an **X** in the box following **Prog Cat/Cause Act, Branch**, or **Position** to indicate how the list of criminal actions will be sorted.

TAB to query records.

When you perform the query, LIONS will bring up all civil and criminal records assigned to the current USAO staff member (or Judge). For staff member assignments, LIONS will list the position of the staff person; e.g., **L** (Lead) AUSA, **C** (Co-counsel). If you are reassigning a criminal action from a staff person that is listed as **C** (Co-counsel), the new staff member position will automatically default to **C**.

Use the arrow keys or the mouse to move up and down the list. Put an **X** next to any criminal action that you want to reassign, as shown in Figure 6-34. When making multiple selections, remember that you can only reassign criminal and civil actions from one USAO Staff person (or Judge) to another USAO Staff person (or Judge). Press F8 a pop up screen will ask you "Do you really want to make this change?" Answer Y (yes) to commit.

.

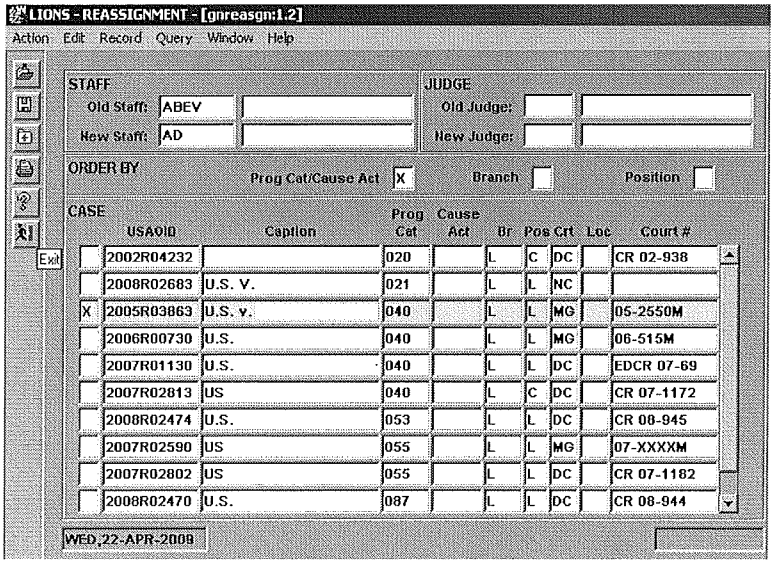
LIONS - REASSIGNMENT - [gnreasgn:1.2]
Action Edit Record Query Window Help
STAFF
Old Staff: ABEV
New Staff: AD
JUDGE
Old Judge:
New Judge:
ORDER BY
Prog Cat/Cause Act X
Branch
Position
CASE
USAOID Caption Prog Cat Cause Act Br Pos Crt Loc Court #
2002R04232 020 L C DC CR 02-938
2008R02683 U.S. V. 021 L L NC
X 2005R03863 U.S. v. 040 L L MG 05-2550M
2006R00730 U.S. 040 L L MG 06-515M
2007R01130 U.S. 040 L L DC EDCR 07-69
2007R02813 US 040 L C DC CR 07-1172
2008R02474 U.S. 053 L L DC CR 08-945
2007R02590 US 055 L L MG 07-XXXXM
2007R02802 US 055 L L DC CR 07-1182
2008R02470 U.S. 087 L L DC CR 08-944
WED,22-APR-2009

Figure 6-34: USAO Staff Assignments (Global)

Press **F10** to execute the change.

The pop up screen shown in Figure 6-35 will display.

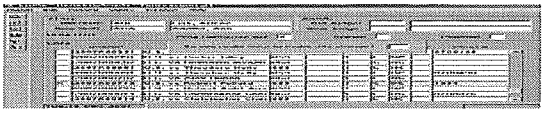

Figure 6-35: Confirm Reassignment Dialog Box

- Enter **Y (Yes)** in the checkbox and press **F10** to execute the reassignment.

As shown in Figure 6-36 , LIONS has automatically updated the Assignments block in the Court History. The End Date field of the current staff member defaults to the current date. Start Date for the new staff member defaults to the current date.

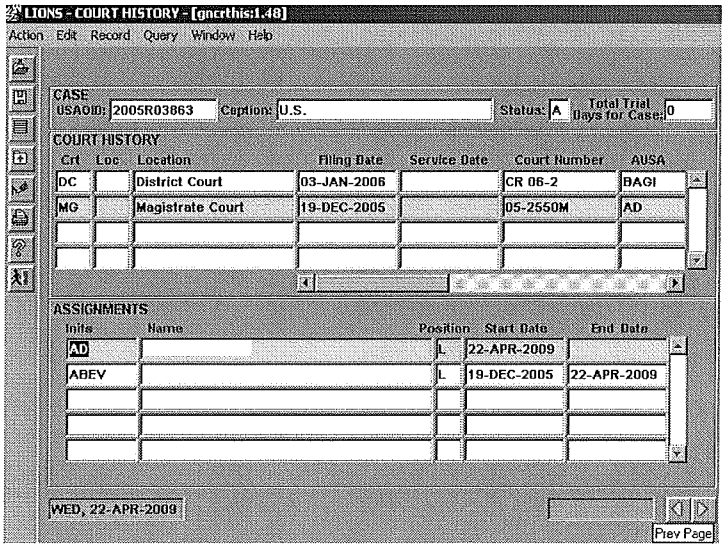
LIONS - COURT HISTORY - [gncrthis:1.48]
Action Edit Record Query Window Help
CASE
USAOID: 2005R03863
Caption: U.S.
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 03-JAN-2006 CR 06-2 BAGI
MG Magistrate Court 19-DEC-2005 05-2550M AD
ASSIGNMENTS
Inits Name Position Start Date End Date
AD L 22-APR-2009
ABEV L 19-DEC-2005 22-APR-2009
WED, 22-APR-2009
Prev Page

Figure 6-36: Updated USAO Staff Assignments (Global)

6.7. USAO Staff Reassignments (Individual)

6.7.1. Update Option

To reassign a single criminal action from one USAO staff member to another, access the USAO Staff Assignment form from the General Update menu or Case Summary screen.

The **USAO STAFF ASSIGNMENT** record for the requested case opens as shown in Figure 6-37.

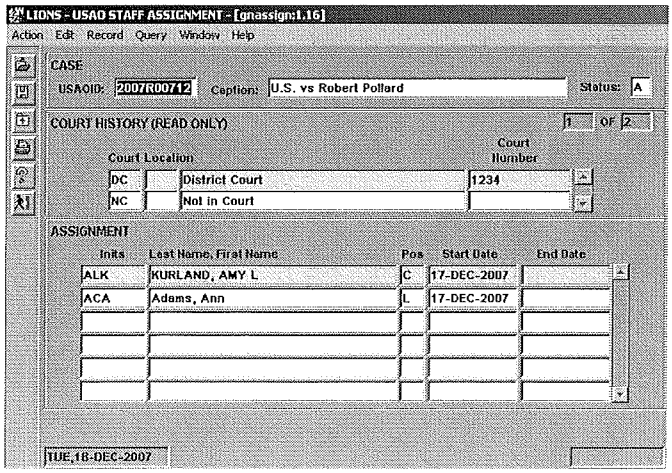

Figure 6-37: USAO Staff Assignment (Individual)

Query the case and highlight the current court. Go to the Assignment block; enter an End Date on the old USAO staff person. Arrow down to a blank line and enter the new USAO staff person, Position and Start Date.

You can have only one active **L** (Lead) AUSA per court. If you are reassigning the **L** (Lead), you must first close the current lead by entering an end date and press F10 to process, then you can add the new **L** (Lead) AUSA.

Figure 6-38 shows the updated Assignment block.

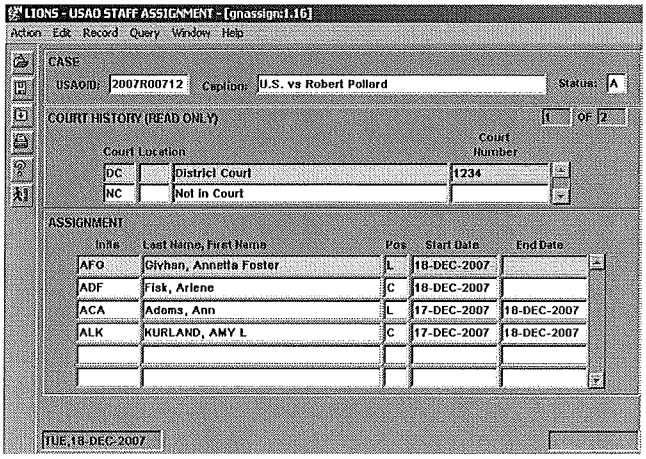
LIONS - USAO STAFF ASSIGNMENT - [gnassign1.16]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
COURT HISTORY (READ ONLY)
1 OF 2
Court Location
Court Number
DC District Court 1234
NC Not in Court
ASSIGNMENT
Initls Last Name, First Name Pos Start Date End Date
AFG Givhan, Annetta Foster L 18-DEC-2007
ADF Fisk, Arlene C 18-DEC-2007
ACA Adams, Ann L 17-DEC-2007 18-DEC-2007
ALK KURLAND, AMY L C 17-DEC-2007 18-DEC-2007
TUE,18-DEC-2007

Figure 6-38: Updated USAO Staff Assignment (Individual)

Press **F10** to accept/save changes. Press the **Exit** icon to go to the LIONS Main Menu.

6.8. Judge Reassignments (Global)

6.8.1. Reassignment Form

Select **Admin, Staff or Judge Reassignment** from the LIONS Main Menu.

The Reassignment Form shown in Figure 6-39 will open.

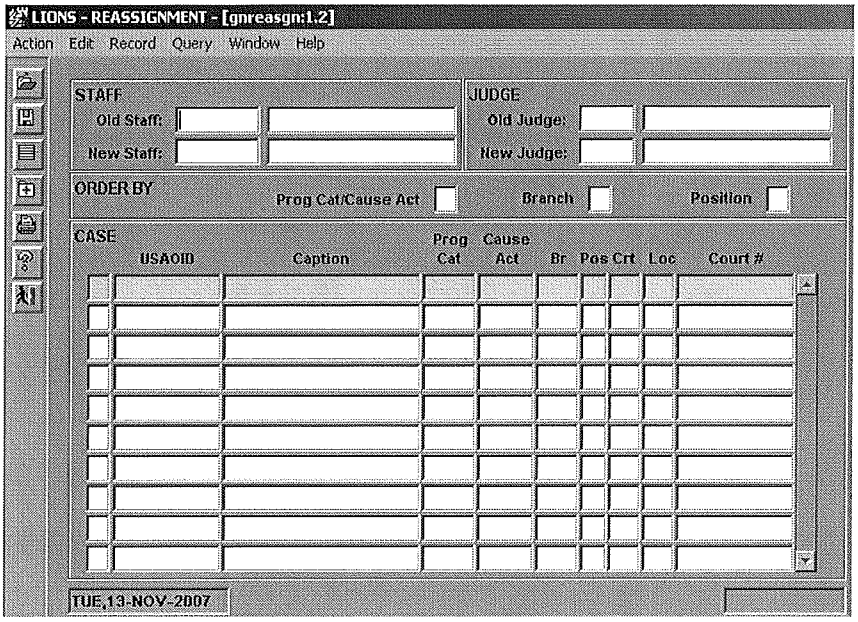

Figure 6-39: Reassignment

6.8.1.1. Judge

Press **F9** and select the initials of the current Judge.

Press **F9** and select the initials of the Judge being assigned.

6.8.1.2. Order By

An **Order By** option must be selected.

Put an **X** in the box following **Prog Cat/Cause Act, Branch**, or **Position** to indicate how the list of criminal actions will be sorted.

TAB to query records.

LIONS will return all records assigned to the current Judge, as shown in Figure 6-40.

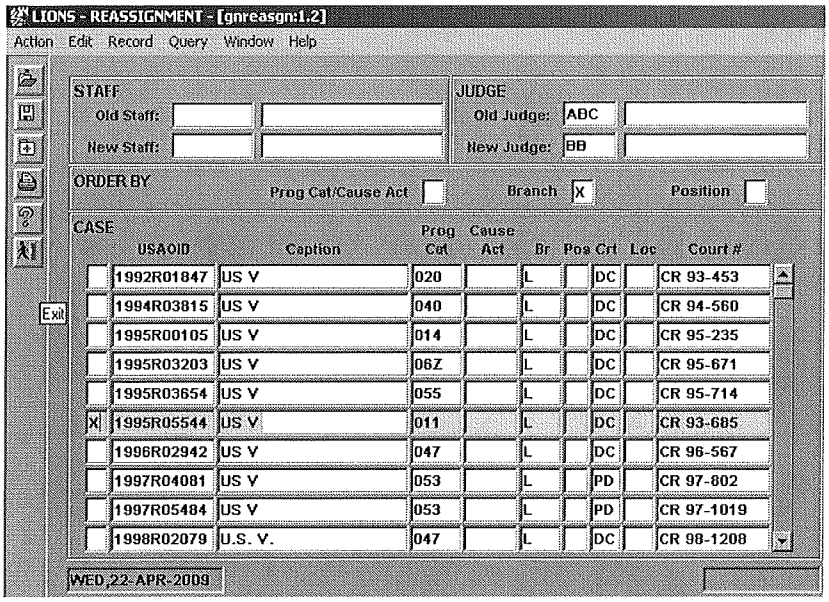
LIONS - REASSIGNMENT - [gnreasgn:1.2]
Action Edit Record Query Window Help
STAFF
Old Staff:
New Staff:
JUDGE
Old Judge: ABC
New Judge: BB
ORDER BY
Prog Cat/Cause Act
Branch X
Position
CASE
USAOID Caption Prog Cat Cause Act Br Pos Crt Loc Court #
1992R01847 US V 020 L DC CR 93-453
1994R03815 US V 040 L DC CR 94-560
1995R00105 US V 014 L DC CR 95-235
1995R03203 US V 06Z L DC CR 95-671
1995R03654 US V 055 L DC CR 95-714
X 1995R05544 US V 011 L DC CR 93-685
1996R02942 US V 047 L DC CR 96-567
1997R04081 US V 053 L PD CR 97-802
1997R05484 US V 053 L PD CR 97-1019
1998R02079 U.S. V. 047 L DC CR 98-1208
Exit
WED 22-APR-2009

Figure 6-40: Current Judge Assignments

Place an **X** in the checkbox before each case to be reassigned.

Press **F10** to execute the change.

The pop up shown in Figure 6-41 will display.

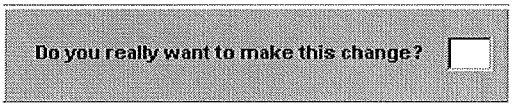

Figure 6-41: Confirm Changes Dialog Box

Enter **Y (Yes)** in the checkbox and press **F10** to accept/save changes.

The message shown in Figure 6-42 will display.

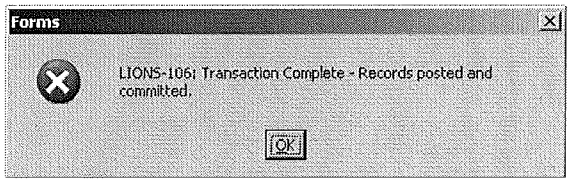

Figure 6-42: Transaction Confirmation Message

Press **OK.**

As shown in Figure 6-43, when reassignments are made using the Reassignment form, LIONS will automatically update the Judges block in the Court History. End Date for the current Judge defaults to the current date. Start Date for the new Judge defaults to the current date.

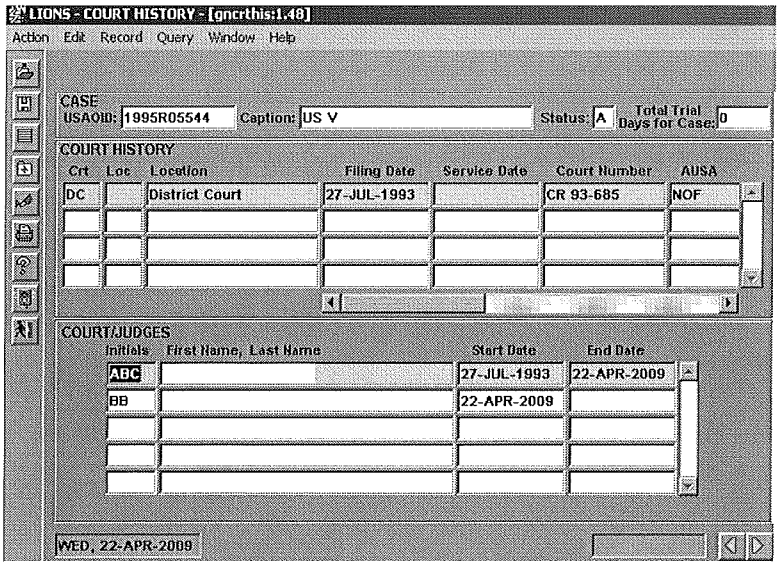
LIONS - COURT HISTORY - [gncrthis:1.48]
Action Edit Record Query Window Help
CASE
USAOID: 1995R05544 Caption: US V Status: A Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 27-JUL-1993 CR 93-685 NOF
COURT/JUDGES
Initials First Name, Last Name Start Date End Date
ABC 27-JUL-1993 22-APR-2009
BB 22-APR-2009
WED, 22-APR-2009

Figure 6-43: Updated Court History – Court/Judges Block

6.9. Judge Reassignment (Individual)

Individual Judge reassignments are made in the Court History screen.

Select **Criminal, Update, Update Court** from the LIONS Main Menu

OR

Select **Criminal, Update, General Update, Court History/Instrument** from the LIONS Main Menu.

Enter the USAOID for the case to be updated and press **F8**.

The Court History record for the requested case opens as shown in Figure 6-44 opens.

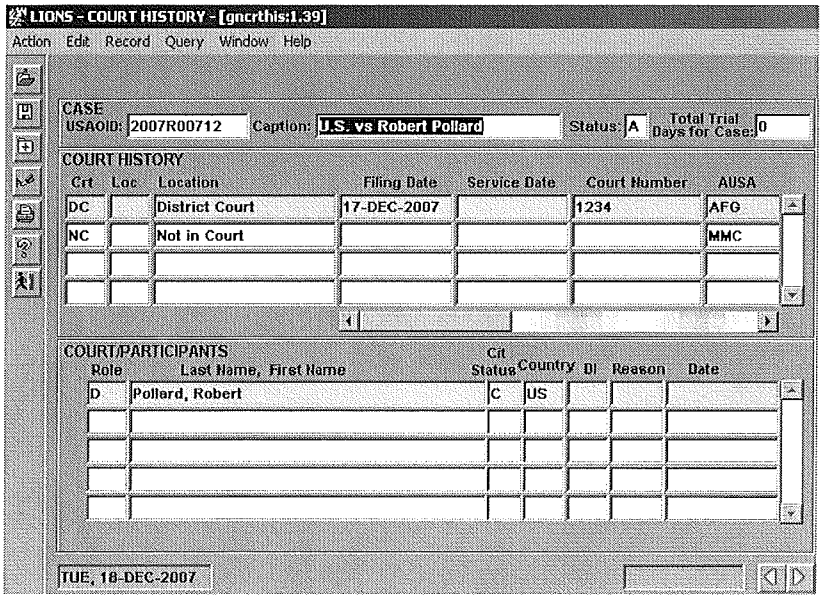
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 AFG
NC Not in Court MMC
COURT/PARTICIPANTS
Role Last Name, First Name Crt Status Country DI Reason Date
D Pollard, Robert C US
TUE, 18-DEC-2007

Figure 6-44: Court History

Enter an **End Date** for the current Judge.

DOWN ARROW to a blank line or press **F6** to insert a blank line.

Inits - Press **F9** and select the initials of the Judge being assigned.

Start Date – This field defaults to the current date. If this is incorrect, enter the correct date.

Press the **Exit** icon and click **Y (Yes)** in the Save dialog box.

Figure 6-45 shows the updated Court/Judges block.

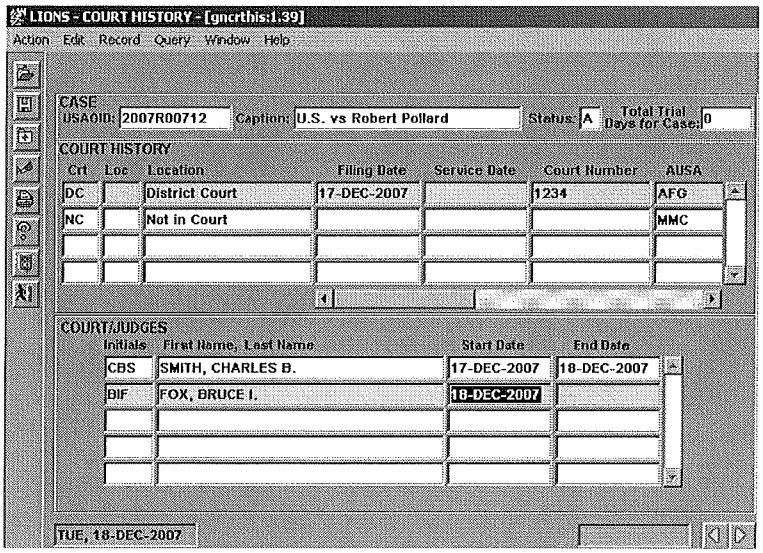
LIONS - COURT HISTORY - [gncrthis:1.39]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
Total Trial Days for Case: 0
COURT HISTORY
Crt Loc Location Filing Date Service Date Court Number AUSA
DC District Court 17-DEC-2007 1234 AFG
NC Not in Court MMC
COURT/JUDGES
Initials First Name, Last Name Start Date End Date
CBS SMITH, CHARLES B. 17-DEC-2007 18-DEC-2007
BIF FOX, BRUCE I. 18-DEC-2007
TUE, 18-DEC-2007

Figure 6-45: Updated Court/Judges

Press the **Exit** icon and click **Y (Yes)** in the Save dialog box.

6.10. Agency/Agent Information

To access the Agency form from the General Update menu or Criminal Update/Case Summary screen, shown in Figure 6-46.

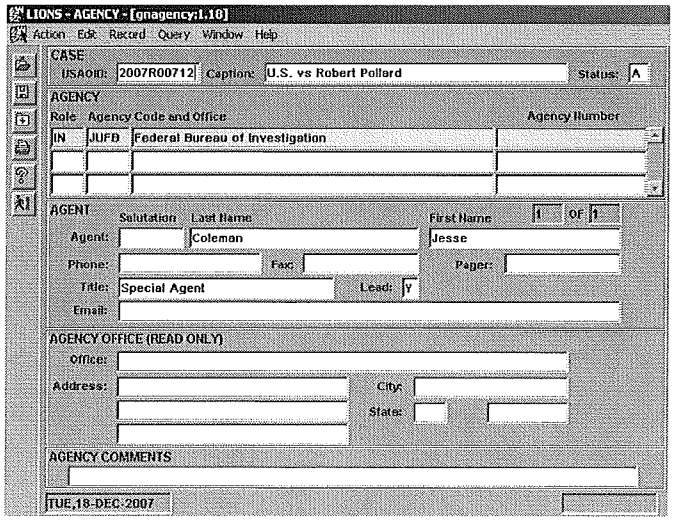

Figure 6-46: Agency

You cannot make a change to the agency code. If the wrong agency has been recorded, delete the record then add a new agency. If you are making a change to Agent information, be sure that the proper agency is highlighted before adding/changing Agent information. Press **F10** to update.

6.11. Restrict Case and Other General Case Information

LIONS provides a feature that allows you to restrict a criminal action to a group of USAO staff members. When restricted, all information in the criminal action can only be viewed by the USAO staff who are members of the group. If is necessary to restrict a criminal action, access the Restrict Matter/Case form from the Criminal pull-down menu. If you are not a member of a staff group, you cannot restrict criminal actions. Contact your System Manager for assistance.

Select **Criminal, Restrict Matter/Case** from the LIONS Main Menu as shown in Figure 6-47.

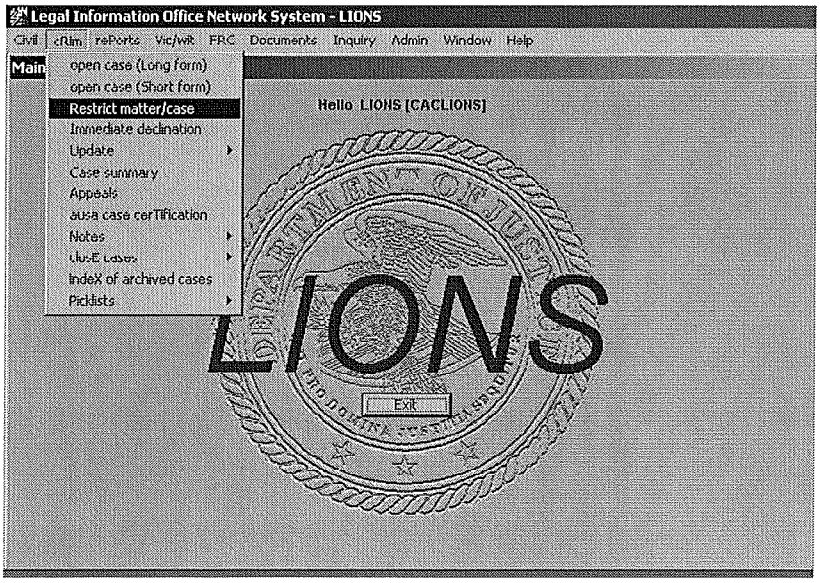

Figure 6-47: Restrict Matter/Case

The **CASE STAFF GROUP** screen shown in Figure 6-48 opens.

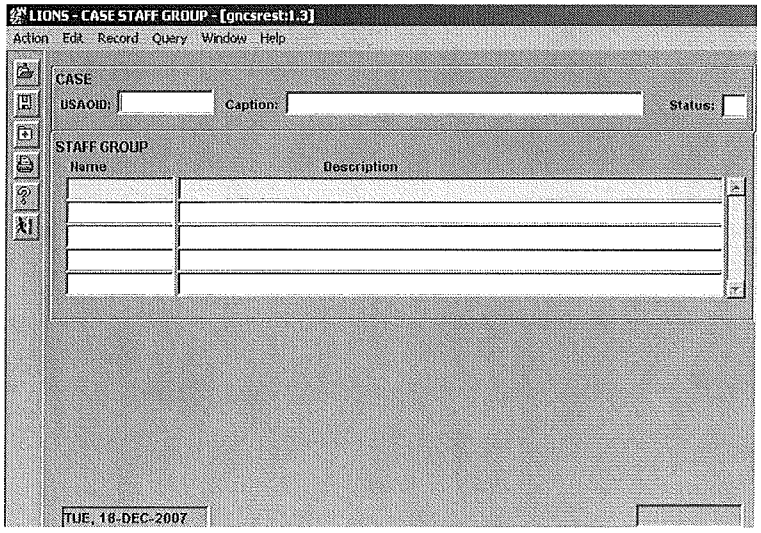

Figure 6-48: Case Staff Group

Enter a USAOID or part of the Caption and press **F8** to retrieve the criminal action you want to restrict. If more than one case is retrieved, press the DOWN ARROW until the criminal action you want to restrict is displayed.

Press **CTRL + PAGE DOWN** to go to the STAFF GROUP block. Press **F9**, or click on the List icon to select the Group to which the criminal action is restricted.

6.12. Other Case Information

In addition to restricting criminal actions, general case information that becomes available, or changes from the initial data entry, can be entered. Access the Case form from the Criminal General Update menu or the Case Summary screen. The criminal open long form of the requested case opens as shown in Figure 6-49.

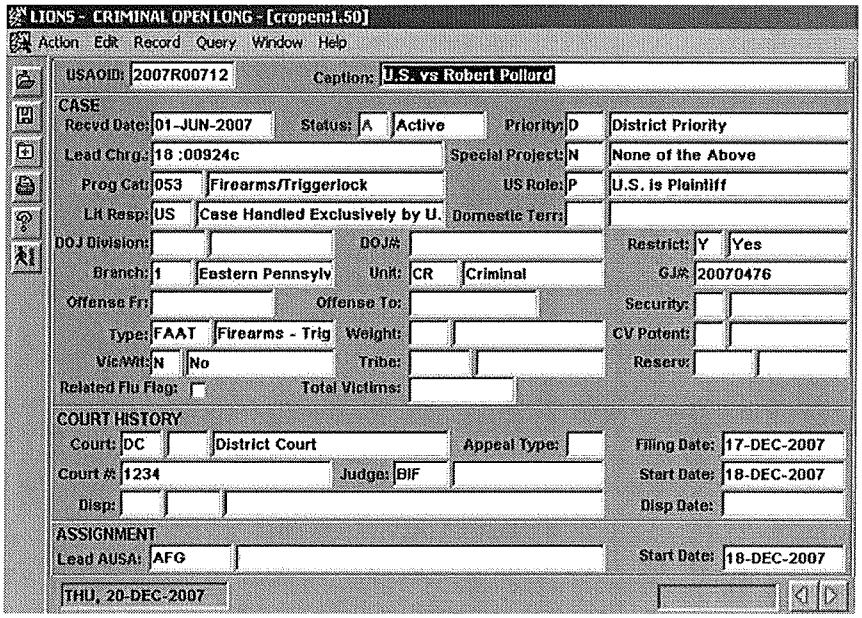

Figure 6-49: Criminal Open Long

Information can be added or changed in all of the fields in the Case block. For example, if you want to add a DOJ Division, tab to the DOJ Division field and enter the appropriate data.

DO NOT make changes to the **Court History** or **Assignment** blocks through the Case form. Use the individual **Court History** or **Court/Staff Assignment** forms.

6.13. Controlled Substance

If you need to change or add information about drugs in a criminal action, access the Controlled Substance form, from the LIONS Criminal General Update menu or Case Summary screen, as shown in Figure 6-50.

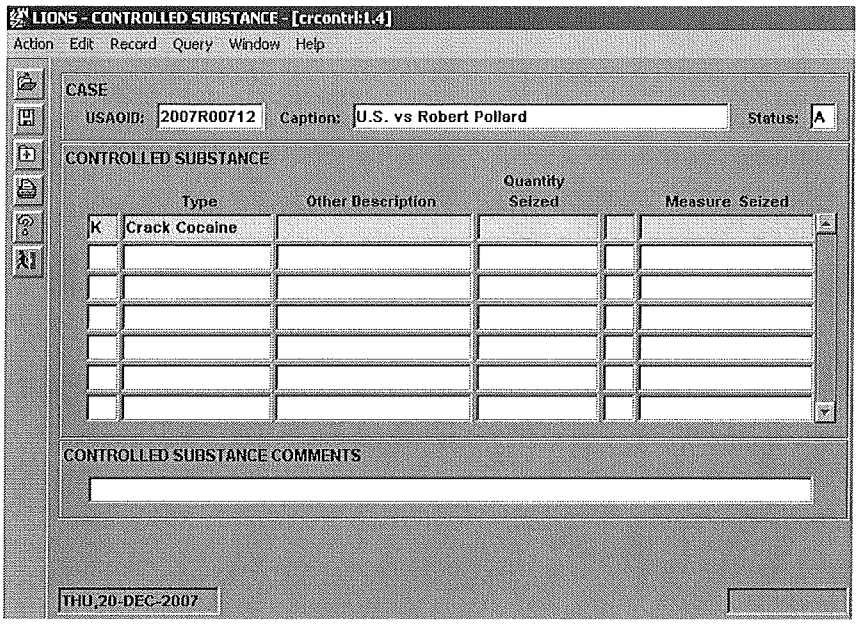

Figure 6-50: Controlled Substance

Type, Quantity Seized and **Measure Seized** can be changed. To change information, click in the field.

Type - Press **F9** and select a code for the type of controlled substance.

Quantity Seized – Enter the amount of controlled substance seized.

Measure Seized – Enter the unit of measure for the Quantity Seized.

If **Type** is **O** (Other) a description of the drug **MUST** be entered in the **Other Description** field.

To add a drug to the Controlled Substance block:

DOWN ARROW to a blank line or press **F6** to insert a blank line.

Type - Press **F9** and select the substance seized.

Quantity Seized - Enter the quantity seized.

Measure Seized - Press **F9** and select the unit of measure for the quantity seized.

6.14. Controlled Substance Comments

Highlight the substance in the Controlled Substance block to which the comments apply.

Click the **Exit** icon and click **Y (Yes)** to save and exit the form, or press **F10** to accept/save changes.

6.15. Count Disposition/Sentence/Restitution

To add or change information concerning the count disposition, sentence or restitution, select the Court Disposition/Sentence/Restitution option from the General Update Menu or the Case Summary screen, which will open as shown in Figure 6-51. A series of three data entry screens will be displayed.

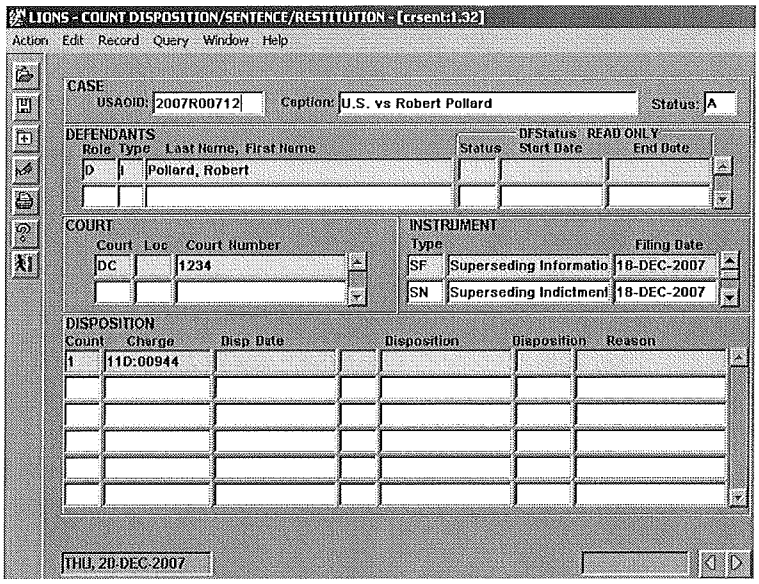

Figure 6-51: Count Disposition/Sentence/Restitution

The only data you can change on the Court Disposition Form are the Disposition Date, Disposition, and Disposition Reason. Be sure you have highlighted the appropriate defendant, court, and instrument first. If you are trying to make changes for a defendant who does not immediately appear in the Defendant block, press **F7** (Enter Query), type in all or part of the name and press **F8** to execute the query.

To change to a count number or charge, go to the Court History form, press **CTRL + PAGE DOWN** until you come to the charge block, and make the appropriate change(s).

All data in the Sentence block, except the Sentence date, can be changed (see Figure 6-52). Sentence records are required if you have a count disposition of **GT** (Guilty) or **NC** (Nolo). Marshal number is mandatory if the Victim Witness Indicator is Y.

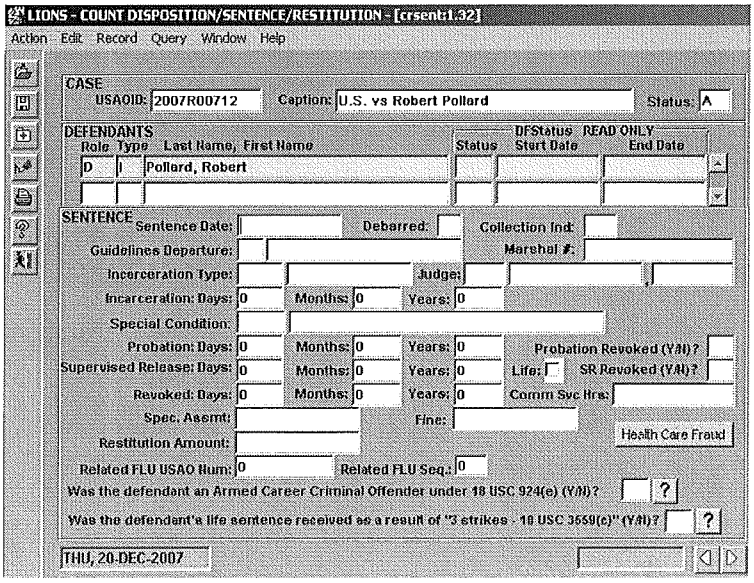
LIONS - COUNT DISPOSITION/SENTENCE/RESTITUTION - [crsent:1.32]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712
Caption: U.S. vs Robert Pollard
Status: A
DEFENDANTS
Role Type Last Name, First Name
Status
DFStatus Start Date
READ ONLY End Date
D I Pollard, Robert
SENTENCE
Sentence Date:
Debarred:
Collection Ind:
Guidelines Departure:
Marshal #:
Incarceration Type:
Judge:
Incarceration: Days: 0 Months: 0 Years: 0
Special Condition:
Probation: Days: 0 Months: 0 Years: 0 Probation Revoked (Y/N)?
Supervised Release: Days: 0 Months: 0 Years: 0 Life: SR Revoked (Y/N)?
Revoked: Days: 0 Months: 0 Years: 0 Comm Svc Hrs:
Spec. Asemt:
Fine:
Health Care Fraud
Restitution Amount:
Related FLU USAO Num: 0
Related FLU Seq.: 0
Was the defendant an Armed Career Criminal Offender under 18 USC 924(e) (Y/N)?
Was the defendant's life sentence received as a result of "3 strikes - 18 USC 3559(c)" (Y/N)?
THU, 20-DEC-2007

Figure 6-52: Sentence

To display the restitution screen, press **TAB, ENTER** or press **CONTROL + PAGE DOWN** or to go to the **RESTITUTION** block, as shown in Figure 6-53.

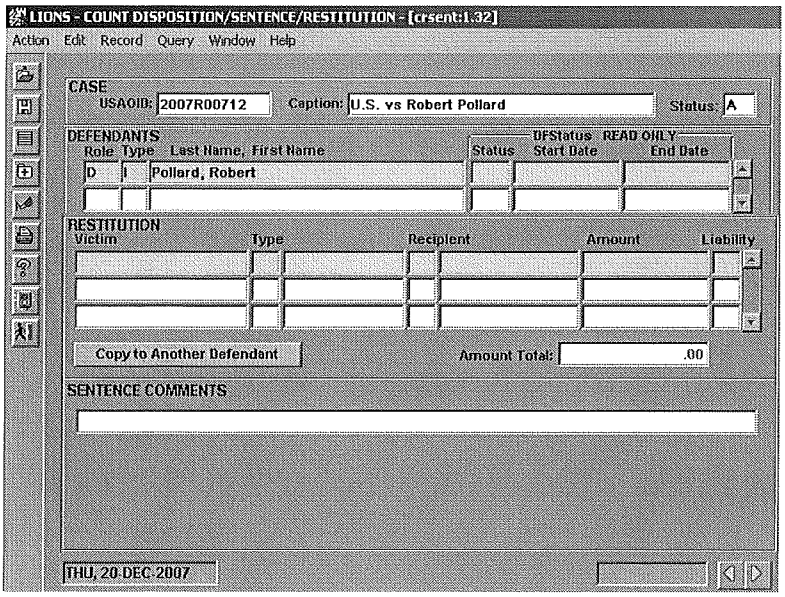

Figure 6-53: Restitution

Make sure the defendant from whom restitution is due is highlighted. Select the Victim name off the LOV. Enter the appropriate information. Note that the **Amount Total** field provides the aggregate sum for all restitution entered.

To change the victim, delete the record and then re-add the proper victim. All other information on the line can be changed. If you need to add a victim, go to a blank line, press **F9**, highlight the victim you want and press ENTER. You can also add **Sentence Comments**.

6.16. Defendant Status

To add or make a change to a defendant's status, access the Defendant Status form, as shown in Figure 6-54.

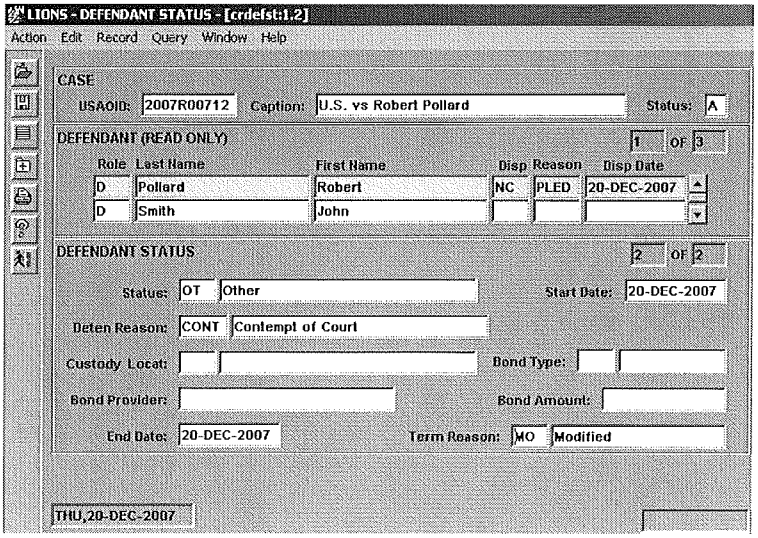

Figure 6-54: Closed Defendant Status

Before you enter data in the Defendant Status block, be sure you have the proper defendant highlighted in the Defendant (Read Only) block. To access the proper defendant, press the Down Arrow or press **F7** (Enter Query). Type in all or part of a defendant's name and press **F8** to execute the query.

Add or change data as necessary. If you have additional Defendant Status information for the same defendant, press the down arrow to obtain a blank block.

DOWN ARROW to a blank form and enter information about the Defendant's new status.

Status – Press **F9** and select a code for the Defendant's new status.

Start Date (Status Date) - Enter the beginning date of the new status.

Deten Reason (Detention Reason) – Press **F9** and select a code that explains why the Defendant is being detained, if applicable.

Custody Locat (Custody Location) – Press **F9** and select the code for the location where the Defendant is being detained, if applicable.

Bond Type – Press **F9** and select the code for the type of bond, if applicable.

Bond Provider – Enter the name of the bond provider, if applicable.

Bond Amount – Enter the amount of the bond, if applicable. It is not necessary to enter a dollar sign ($) or a decimal.

Term Reason - If you have entered an End Date, enter the reason the Defendant Status is over; e.g., **AP** (Apprehended). (LOV)

Figure 6-55 shows the updated Defendant Status record.

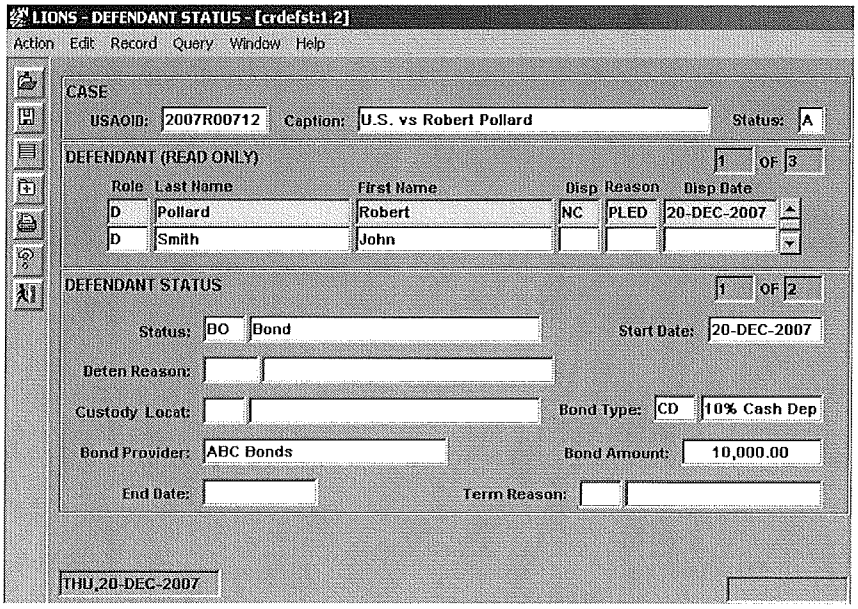
LIONS - DEFENDANT STATUS - [crdefst:1.2]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A
DEFENDANT (READ ONLY) 1 OF 3
Role Last Name First Name Disp Reason Disp Date
D Pollard Robert NC PLED 20-DEC-2007
D Smith John
DEFENDANT STATUS 1 OF 2
Status: BO Bond Start Date: 20-DEC-2007
Deten Reason:
Custody Locat: Bond Type: CD 10% Cash Dep
Bond Provider: ABC Bonds Bond Amount: 10,000.00
End Date: Term Reason:
THU,20-DEC-2007

Figure 6-55: Updated Defendant Status

6.17. Event/Scheduled Event (Calendar)

If a significant event occurs or you want to schedule an event, access the Event form from the General Update menu or Case Summary screen, as shown in Figure 6-56 and Figure 6-57.

If an **Event** code is entered, an **Event Date** or **Date Scheduled MUST** be entered.

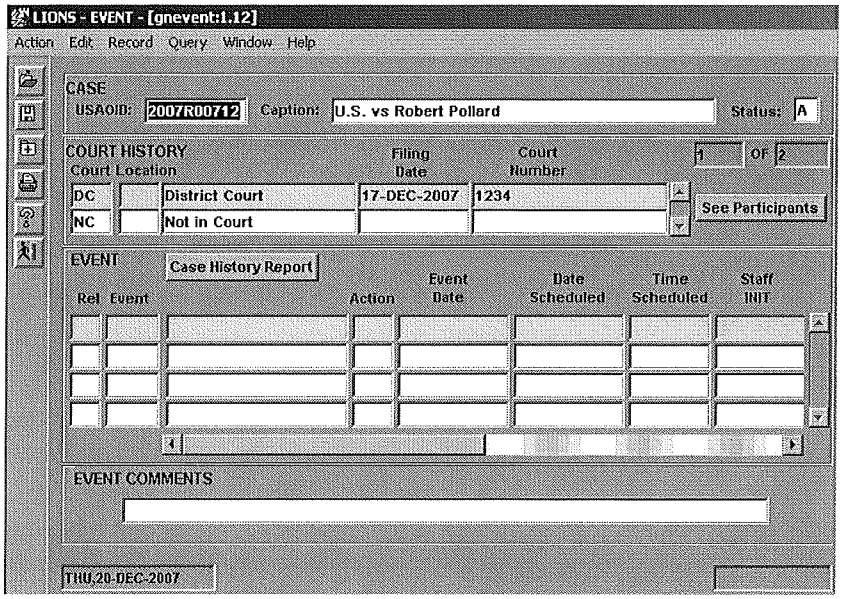

Figure 6-56: Event (left side)

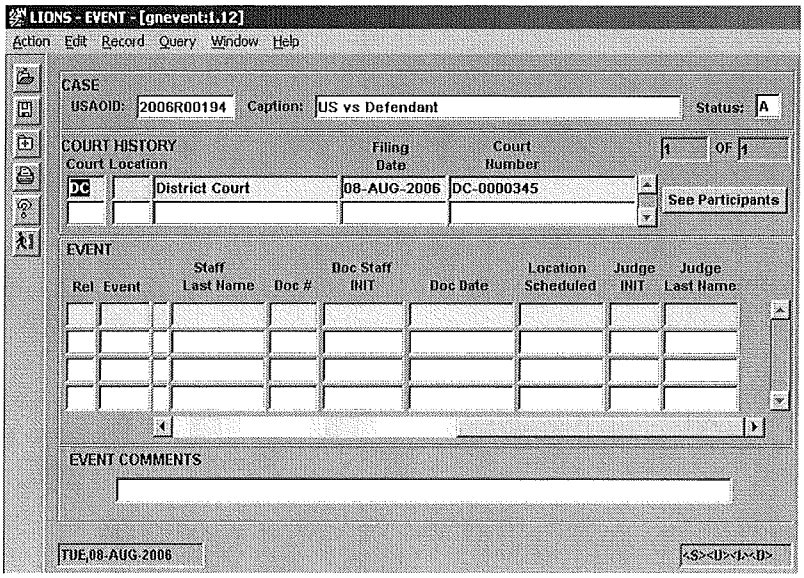

Figure 6-57: Event (right side)

You can add events and schedule events, but you cannot change existing events. If an event is incorrect, delete the code and re-enter an event, if appropriate.

Before entering a new event or scheduled event, be sure you have the appropriate Court highlighted. If you want to relate all of the participants in the criminal action to the new event or scheduled event, enter a **Y** (Yes) in the first column of the Event block. If you do not want to relate all participants to the new event or scheduled event, enter **N** (No) in the first column of the Event block.

When you enter a code in the event field, enter either an event date or a scheduled date.

Note: If you schedule an event, you can go back to the scheduled event and enter an event date to show that it occurred. Do not perform the task in victim cases. Create a separate record to enter an event date to show that it occurred.

After entering the Event information, press **CTRL + PAGE DOWN.** If you entered a **Y** (Yes) in the first column of the Event block, you will receive a pop-up block, as shown in Figure 6-58.

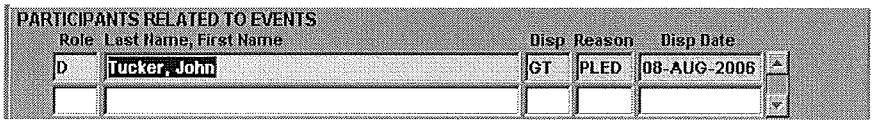

Figure 6-58: Participants Related to Events Pop-up

The pop-up at the bottom of the form verifies that all participants in the criminal action have been related to the Event.

If you entered **N** (No) in the first column of the Event block you will receive a pop-up block as shown in Figure 6-59.

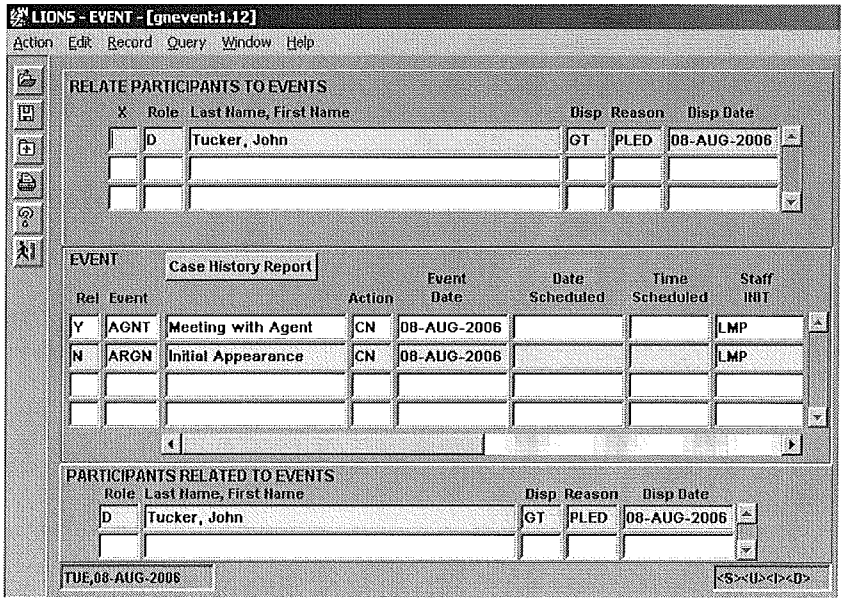

Figure 6-59: Relate Participants to Event

Enter an **X** next to each participant that you want related to the event or scheduled event. When you press **CTRL + PAGE DOWN** you will receive the verification pop-up.

When you are finished entering the event or scheduled event, and you have attached participants to the event, press **CTRL + PAGE DOWN** to enter an Event Comment.

6.18. Evidence

If you have evidence to add to a criminal action, or evidence you need to make a change to, access the Evidence form from the General Update Menu or the Case Summary screen, as shown in Figure 6-60.

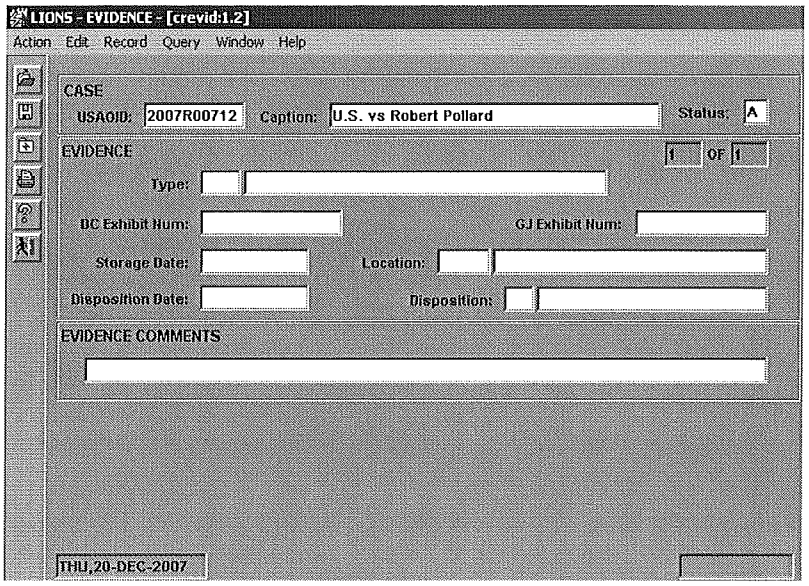

Figure 6-60: Evidence

Enter the USAOID, or at least part of the Caption, and press **F8** to retrieve the case you want to update. If more than one case is retrieved, press the down arrow until the case you want to update is displayed.

Press **CTRL + PAGE DOWN** to go to the EVIDENCE block.

Type – Press **F9** and select the code for the type of evidence being tracked. The code for this field is established by your district.

DC Exhibit Num (DC Exhibit Number) - Enter the exhibit number assigned to the evidence at trial.

GJ Exhibit Num (GJ Exhibit Number) - Enter the exhibit number assigned to an exhibit presented before the Grand Jury.

Storage Date - Enter the date evidence was placed in storage.

Location – Press **F9** and select the code that identifies the location where the evidence is stored. Location is a local code established by the districts.

Disposition Date - Enter the date evidence was destroyed, returned to a third party, or otherwise disposed of.

Disposition – Press **F9** and select the code that describes how the disposition of evidence was accomplished. Disposition is a local code established by the districts.

Comments - Enter a comment relating to the evidence. To see more of the screen press **ALT + E** and then select **Edit** or double click on the comment field.

If you have additional evidence to enter, press the down arrow (from the Evidence Block) to receive a blank evidence block.

6.19. Expert in a Case

If you have information about an expert to add to a criminal action, or expert information that you want to change, access the Expert in a Case form from the General Update Menu or the Case Summary screen, as shown in Figure 6-61.

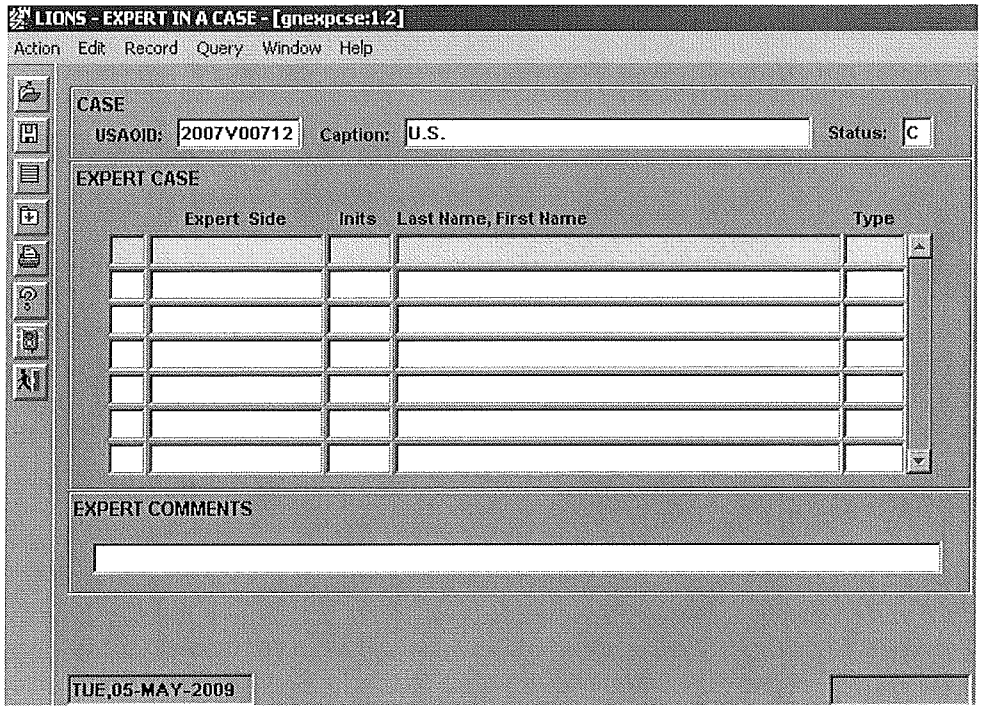

Figure 6-61: Expert in a Case

You can enter the following information in this form:

Expert Side – Press **F9** and select the code that identifies for whom the expert is testifying. Enter **G** (Government) or **O** (Opposing Side).

Inits – Press **F9** and select the initials of the expert.

Name – The system will fill in the name based on the initials that were entered.

Type - Enter the type of expert; e.g., **BAN** (Banker). The codes for this field are established by your district. (LOV)

Comment - Enter a comment relating to the expert. To see more of the screen, press **ALT + E** and select **Edit** or double click on the Comment field.

If you have additional experts to enter, press the down arrow (in the Expert Case Block) to go to a blank line and continue data entry as stated above.

6.20. DCMNS Numbers and File Location

To enter DCMNS numbers or note the physical location of a file, access the Miscellaneous Numbers form from the General Update Menu or Case Summary screen, as shown in Figure 6-62.

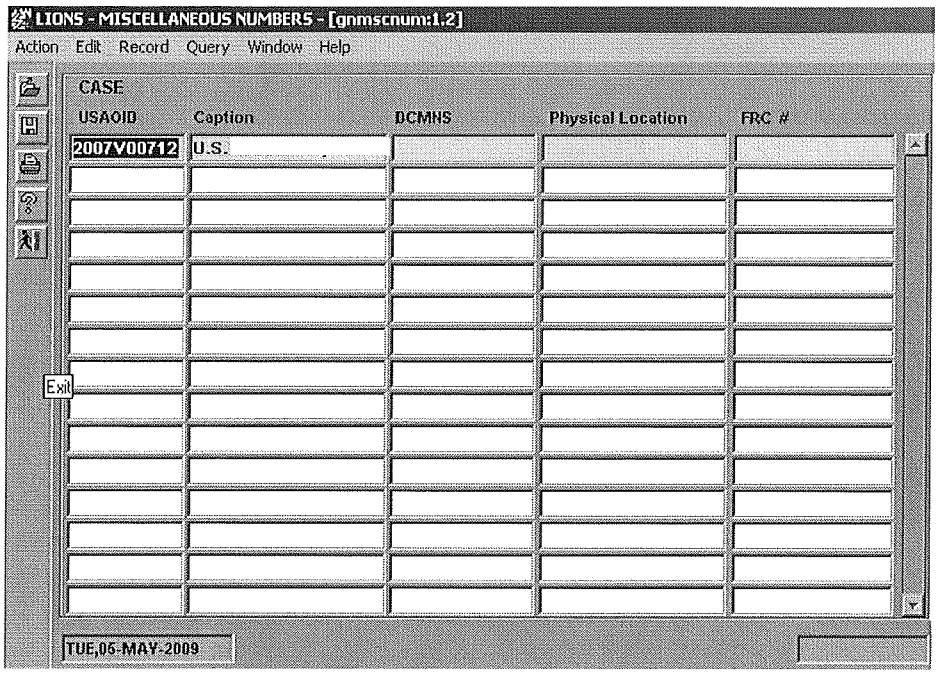

Figure 6-62: Miscellaneous Numbers

DCMNS – Enter the DCMNS number assigned to the case.

Physical Location – Enter a code, number or description that identifies where the record is physically located.

FRC (Federal Records Center) – Enter the number for the FRC that houses the record, if applicable.

Press the **Exit** icon and click on **Y (Yes)** in the dialog box to save entries and exit the form or press **F10** to accept/save changes.

6.21. Opposing Counsel

To track Opposing Counsel information, access the Opposing Counsel form from the General Update Menu or Case Summary screen, as shown in Figure 6-63.

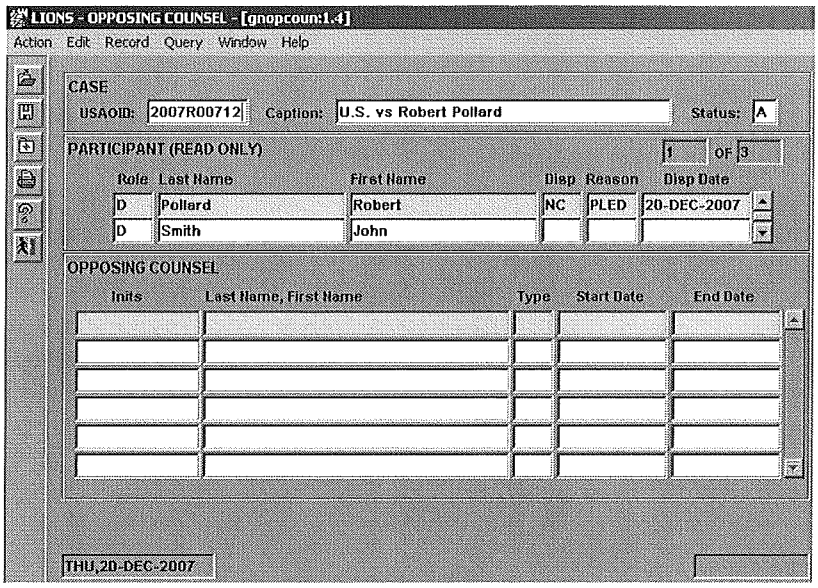
LIONS - OPPOSING COUNSEL - [gnopcoun:1.4]
Action Edit Record Query Window Help
CASE
USAOID: 2007R00712 Caption: U.S. vs Robert Pollard Status: A
PARTICIPANT (READ ONLY)
1 OF 3
Role Last Name First Name Disp Reason Disp Date
D Pollard Robert NC PLED 20-DEC-2007
D Smith John
OPPOSING COUNSEL
Inits Last Name, First Name Type Start Date End Date
THU,20-DEC-2007

Figure 6-63: Opposing Counsel

Highlight the appropriate participant in the **PARTICIPANT** block. **CONTROL + PAGE DOWN** to the Opposing Counsel block.

- **Inits** (Initials) - Press **F9** and select the initials of the new counsel.
- **Name** – The system will fill in the name based on initials.
- **Type** – Press **F9** and select the code for the counsel type.
- **Start Date** – Enter the date the new counsel was assigned to the case.

Press the **Exit** icon and click on **Y (Yes)** in the dialog box to save entries and exit the form or press **F10** to accept/save changes.

6.22. Participant Information

To add or change Participant information, access the Participant form from the General Update Menu or Case Summary screen, as shown in Figure 6-64.

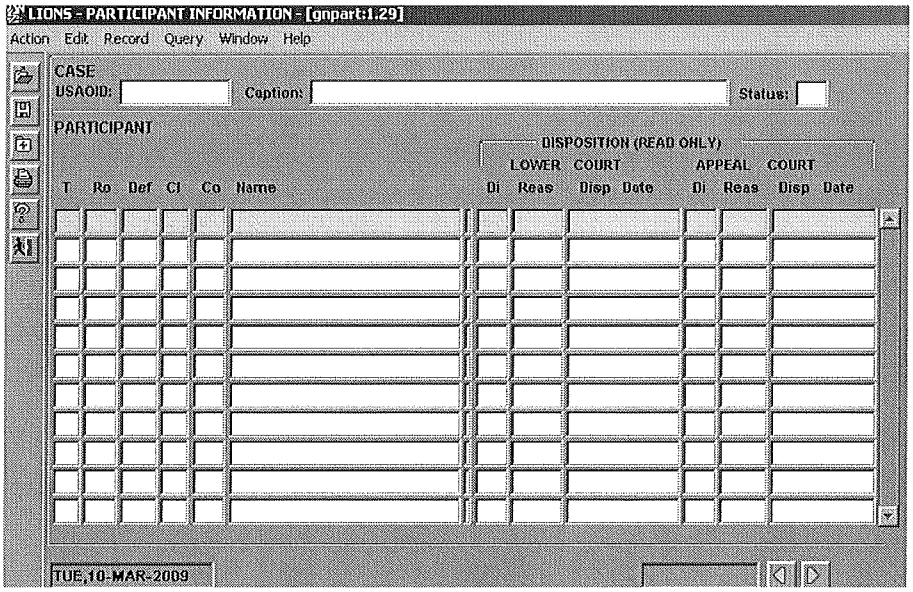

Figure 6-64: Participant Information

You cannot change the Type code. If the Type is incorrect you must delete the participant then re-add the participant with the correct Type. If the participant Role begins with a **D** or **P**, you can only change it to another **D** or **P**. If the Role needs to be changed to anything else, delete the participant and re-add it with the correct Role.

Based on the Type code entered, (**I**-Individual, **B**-Business, **P**-Property), LIONS provides forms related to an individual, business, or property. These participant-related forms are discussed in **Section 5.7.6**.